

# CHANGE REQUEST COVER SHEET

**Change Request Number:** 09-63

**Date Received:** 7/7/2009

**Title:** Acquisition Category and Acquisition Program Baseline

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**Phone:** 202-267-7601

**Policy OR Guidance:** Policy

**Section/Text Location Affected:** Multiple

**Summary of Change:** Institutes acquisition categories within the acquisition management system and distributes investment decision-making by acquisition category; removes the Exhibit 300 as the primary investment decision-making document; establishes an acquisition program baseline that covers performance, cost, and schedule during solution implementation.

**Reason for Change:** Distributes investment decision-making and oversight to an appropriate management level by acquisition category; extends management oversight to all acquisition categories; streamlines documentation requirements by acquisition category; focuses Joint Resource Council oversight on the largest investment programs and agency-level investment portfolio.

**Development, Review, and/or Concurrence:** Acquisition Executive Board, Acquisition System Advisory Group

**Target Audience:** Acquisition management workforce

**Potential Links within FAST for the Change:** Link to ACAT policy chart

**Briefing Planned:** No

**ASAG Responsibilities:** Approve

**Potential Links within FAST for the Change:** Link to ACAT policy chart

**Links for New/Modified Forms (or) Documents (LINK 1)** [null](#)

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**SECTIONS REMOVED:**

**Acquisition Management Policy:**

**Section 1.2.3 : The Joint Resources Council .**

The Joint Resources Council is the FAA’s senior investment review board. It makes corporate-level resource decisions, including authorization and funding for new investment programs, and approves all changes to the enterprise architecture. The JRC selects for approval and funding those investment opportunities having the highest potential for contributing to FAA strategic and performance goals, improving service delivery, increasing aviation safety, lowering operating costs, or otherwise providing value to the FAA and its customers, consistent with the enterprise architecture. It approves the investment of resources, regardless of appropriation, in useful and manageable phases (e.g., development, demonstration, production, and operations). Investment phases are managed within cost, schedule, performance, and benefit targets in the Exhibit 300 program baseline approved by the JRC at the final investment decision.

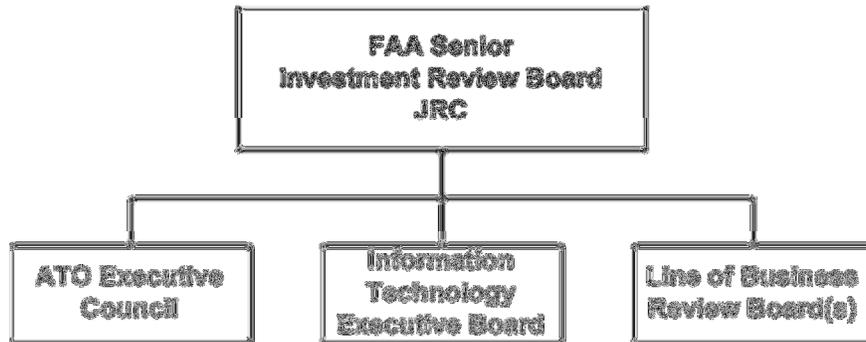
The Joint Resources Council conducts semi-annual service-level reviews to evaluate performance against quantified measures and goals for approved investment programs. Appendix A defines the membership of the JRC.

**Acquisition Management Policy:**

**Section 1.2.3 : Subordinate Investment Review Boards .**

The Joint Resources Council may assign elements of the enterprise architecture to subordinate review boards for investment approval, review, and oversight (See Figure 1.2.4-1 Subordinate Investment Review Board Structure).

Figure 1.2.4-1 Subordinate Investment Review Board Structure



Subordinate review boards coordinate and integrate investment activity across service organizations for assigned elements of the enterprise architecture; recommend approval of highest priority investment opportunities within service portfolios to the JRC; ensure investment and operational resources within service portfolios support priority FAA strategic and performance goals; ensure there is no overlap, redundancy, or gap in service organization investment activity; review progress, track baseline variances, and ensure remedial planning and execution within specific investment programs and across service portfolios, as needed.

Specifically, the ATO Executive Council reviews and recommends high-priority investment opportunities within service portfolios related to the National Airspace System and the provision of air traffic control services (e.g., terminal, en-route, and technical operations). It also makes investment decisions on investment opportunities delegated by the Joint Resources Council. The Information Technology Executive Board (ITEB) reviews, oversees, and recommends administrative and mission support information technology investment portfolios, as delegated by the JRC. Line-of-business subordinate review boards oversee and recommend investment portfolios within a line of business.

The ITEB is supported by the Architecture Review Board, which provides enterprise architecture review, governance, and guidance for information technology investments delegated to the ITEB. The ATO Enterprise Architecture Board provides similar support to the ATO Executive Council for NAS investments and programs.

**Acquisition Management Policy:**  
**Section 1.2.4 : Service Management.**

Service organizations manage the resources provided by the Joint Resources Council to deliver assigned services as an integrated portfolio of investments and assets. This portfolio includes investment assets under acquisition; fielded equipment, legacy systems, infrastructure, and facilities; and all other types of resources.

Service organizations perform service analysis annually to determine what capabilities must be in place now and in the future to meet agency goals and the service needs of customers and to move planning forward each year. Results are captured in the enterprise architecture FAST Version 10/2009

roadmaps, which are the agency transition plans for moving the current “as is” architecture to the future “to be” state. These roadmaps are the foundation for LOB business plans, which in turn are the basis for service organization operating plans.

The operating plan specifies how the service organization will manage its operational assets and new investment initiatives over time to sustain and improve service delivery. It is maintained on a continuing basis and updated yearly to reflect progress against plan, congressional or executive direction, emerging customer needs, and critical aviation incidents. Service organizations track performance, accomplishments, and resource expenditures relative to the operating plan, and take corrective action as necessary to achieve agreed upon goals and objectives. Service organizations work closely with each other to manage shared assets efficiently and effectively.

The Office of Management and Budget (OMB) directs all government agencies to use an earned value management system that complies with the industry EVMS Standard, EIA-748 for capital investment programs involving development, modernization, or enhancement. Service organizations must comply with this directive, which includes an integrated baseline review of cost and schedule projections within six months of contract award or program baseline approval.

Service organizations take action to correct negative variance from any Exhibit 300 cost, schedule, performance, or benefit baseline measure. Negative cost and schedule variances that exceed 5 percent must be reported to their subordinate investment review board. Negative cost and schedule variances that exceed 10 percent must be reported to the Joint Resources Council through quarterly earned-value management reporting and at semi-annual service-level reviews along with an explanation of the cause(s), impact on service delivery, and a recovery strategy. The Administrator must notify the Congress of any program cost or schedule variance exceeding 50 percent and either terminate the activity or justify why it should be continued and provide a recovery plan. When the Joint Resources Council determines an investment program cannot recover from a degenerating negative baseline variance, it may elect to rebaseline the effort by adding resources or changing its scope or schedule, or it may decide to terminate the activity.

**Acquisition Management Policy:**

**Section 1.2.4.4 : Evaluating In-Service Assets.**

Service organizations evaluate in-service assets by means of post-implementation reviews and operational analyses. Post-implementation reviews are performed at an early deployment site after 6 – 18 months of operational use. Results are used to determine whether performance, cost, schedule, and benefit goals are being attained. They provide the basis for corrective action when goals are not being realized, as well as lessons learned for improving agency investment management processes. Post-implementation reviews may be conducted at additional sites, as needed to verify corrective actions or to evaluate substantially different operational versions.

Periodic analyses of operational assets determine trends in such factors as service need, performance, and operating and maintenance costs. They are the basis for revalidating continued support for fielded assets or some other action such as upgrade, replacement, or removal from service.

**Acquisition Management Policy:**

**Section 1.2.4.4 : Reviewing and Improving the Performance of Service Portfolios.**

Service organizations are responsible and accountable for managing service portfolios. They evaluate service demand on a continuing basis and recommend changes to the service portfolio over time to optimize service delivery.

Subordinate investment review boards coordinate and integrate service-level portfolios across a line of business or in the case of the ITEB across FAA administrative and mission support information technology. These boards eliminate redundant and duplicative activity and pre-screen new investment opportunities for consideration by the Joint Resources Council.

The Joint Resources Council evaluates the performance of all investment programs and operational assets within each service portfolio against quantified baseline measures at semi-annual service-level reviews. Planned initiatives for new investment are discussed along with proposals to remove, replace, or improve operational assets with declining performance that no longer satisfy service need or are nearing the end of their service life.

The Joint Resources Council or subordinate investment review board with delegated decision authority approves new investment additions or modifications to service-level portfolios using standard investment selection criteria.

**Acquisition Management Policy:**  
**Section 4.15.3 : Reporting.**

Results are reported to The Vice President (ATO) or Director (other lines of business) responsible for the investment program; the Joint Resources Council at semi-annual service level reviews; the cognizant subordinate investment review board; the PIR Quality Officer; and key stakeholder organizations. Results:

- Provide managers with useful information on how best to modify an ongoing investment program to eliminate flaws, improve performance, and better meet the service needs of customers;
- Assist senior management in determining whether to continue, modify, or cancel operational programs; and
- Aid in the evaluation, planning, and funding of programs during the annual budget cycle, E-Government Strategy Reviews, and the OMB Exhibit 300 process.

Collective results across many reviews on multiple programs are analyzed to identify best practices and learned lessons that improve agency investment planning and control processes, enable more accurate estimates of investment costs and benefits, and ultimately result in better investment decisions.

Collective results across serial reviews on singular investment programs enable managers to determine if actions to improve performance and benefits are working.

**Acquisition Management Policy:**  
**Section 4.15.4 : Post Implementation Review Guidance.**

Post Implementation Review Standard Process Guidance is located in FAST at <http://fast.faa.gov>. This guidance defines the activities that should be followed when planning, conducting, and reporting the results of a post implementation review. For each activity, it defines what should be done, the responsible agent, any product or output, the approving official, and links to other tools or aids.

**Acquisition Management Policy:  
Section 4.15.3 : Responsibilities.**

Subordinate investment review boards oversee the implementation of this policy and the quality of post implementation reviews by service organizations under their purview.

The Vice President (ATO) or Director (other lines of business) of the implementing service organization finances, oversees, coordinates, and acts on the recommendations of post-implementation reviews for investment programs under their control. This official also designates a team leader for each review in consensus with the PIR Quality Officer. The team leader is drawn from the operating service organization to ensure the review is objective.

The team leader is responsible for organizing, planning, conducting, and reporting the assigned review.

Service directorates provide the resources and people for conducting the review.

The PIR Quality Officer sustains the post implementation review process and associated guidance and recommends improvements; assists teams with PIR planning, tailoring, and reporting; and assesses the objectivity and quality of reviews for investment review boards. The PIR Quality Officer also provides for training of PIR team leads and members, and supports the Acquisition Executive in the identification of ways to improve investment planning and control processes.

**Acquisition Management Policy:  
Section 4.17 : Operational Analysis.**

Service teams evaluate on a continuing basis the actual cost and performance of in-service capital assets for which they are responsible. The objective is to demonstrate whether an operational investment (or parts of an investment) is meeting the needs of the agency and delivering expected value and safety efficiently and effectively or whether the investment asset should be modernized, replaced, or removed from service. Operational analysis also identifies smarter and more cost-effective methods for delivering performance and value. Results are reported at semi-annual service-level reviews to the Joint Resources Council and factored into annual Exhibit 300 submissions to the Office of Management and Budget for designated programs. Results also feed into continuous service analysis, which establishes the basis for long-range asset and investment planning by service organizations. Go to [Operational Analysis Guidance](#) for guidance on how to conduct and report operational analysis results. Go to [Operational Analysis Report Template](#) for the template and instructions for the operational analysis report.

**SECTIONS ADDED:**

**Acquisition Management Policy:  
Section 1.2.6 : Lifecycle Management Decision-Making**

Table 1.2.6-1 specifies the lifecycle management decision authority by acquisition category. The Joint Resources Council is the FAA's senior investment review board. It makes corporate-level resource decisions, including authorization and funding for ACAT 1 and 2 investment programs, and approves changes to the enterprise architecture. All investment decision authorities select for approval and funding those investment opportunities having the highest potential for contributing to FAA strategic and performance goals, improving

service delivery, increasing aviation safety, lowering operating costs, or otherwise providing value to the FAA and its customers. All investment decision authorities approve investment resources, regardless of appropriation, in useful and manageable segments (e.g., development, demonstration, production, and operations). Each segment is managed within cost, schedule, and performance targets in the acquisition program baseline approved by the investment decision authority at the final investment decision.

The Air Traffic Services Committee reviews all JRC investment decisions for procurement of air traffic control equipment of \$100,000,000 or more in facilities and equipment costs.

**Table 1.2.6-1 Lifecycle Management Decision-Making**

Decision	Decision Body	Decision Chair
Concept and requirements definition readiness decision <sup>1</sup>	None	Vice President (ATO) or Director (non-ATO) of the service organization with the mission need
Investment analysis readiness decision	Determined by acquisition category	Determined by acquisition category
Initial and final investment decisions (Including new programs and extension of current capability)	Determined by acquisition category	Determined by acquisition category
Product demonstration <sup>2</sup>	Note 3	Note 3
Production <sup>2 and 3</sup>	Note 3	Note 3
In-service <sup>3</sup>	Note 3	Note 3
Program baseline change	IDA	Determined by acquisition category
F&E, RE&D, and O&M budget approvals	JRC	Acquisition Executive
Enterprise Architecture changes	JRC	Acquisition Executive

<sup>1</sup> Decision does not apply to small administrative or mission support needs managed by the ITEB unless designated.

<sup>2</sup> Decision required for developmental products. See AMS section 2.5.1.

<sup>3</sup> The investment decision authority designates the product demonstration, production and in-service decision authorities at the final investment decision. If the JRC retains any of these decisions, the chair is the Acquisition Executive.

The IDA Executive Secretariat supports the Acquisition Executive, Joint Resources Council, and subordinate investment decision authorities in executing decision-making responsibilities. The Secretariat ensures service organizations have complied with AMS policy requirements before seeking JRC or subordinate IDA approval. The IDA Executive Secretariat also manages the JRC decision-making and service-level review processes on behalf of the Acquisition Executive.

Service organizations make and are accountable for all service-level management decisions except those explicitly assigned otherwise by this policy or the Joint Resources Council.

**SECTIONS EDITED:**

**Appendix E: Part II - Executive Orders**

**Old Content: Acquisition Management Policy:  
Appendix E: Part II - Executive Orders**

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS:</b>  <b>P=Policy, G=Guidance, C=Clause</b>  <b>*= See Office of Chief Counsel</b>			
Executive Order 10582, Prescribing Uniform Procedures for Certain Determinations Under the Buy-American Act (Dec 17, 1954)	Requires the Government to give preference to domestic end products. (See Buy American Act.) Amended by E.O.'s 10761, 11051, 12148, and 12608. (Also see E.O. 12148)	Procurement		G	C	
Executive Order 10789, Prescribing uniform procedures for certain determinations under the Buy-American Act (November 14, 1958)	Authorizes non-DoD agencies of the Government to exercise certain contracting authority in connection with national-defense functions and to prescribe regulations governing the exercise of such authority. (Also see P.L. 85-804 and E.O. 12919)	Procurement	P	G	C	
Executive Order 11141, Equal Employment Opportunity, (February 12, 1964)	Prescribes policies and procedures pertaining to nondiscrimination in employment by contractors and subcontractors	Procurement	P	G	C	
Executive Order 11701, Employment of veterans by Federal agencies and Government contractors and subcontractors, (Jan. 24, 1973)	Requires each department and agency of the executive branch of the Federal Government to list suitable employment openings with the appropriate office of the State Employment Service or the United States Employment Service and extends the program to Government contractors and subcontractors. (Also see 38 USC 2012)	Procurement		G		
Executive Order 11912, Delegation of Authorities Relating to Energy Policy and	Superseded or revoked by E.O. 12919, National Defense Industrial Resources Preparedness. (Also see E.O. 12919)	Procurement Environment	P			

Conservation (April 13, 1976)						
Executive Order 12038, Relating to Certain Functions Transferred to the Secretary of Energy by the Department of Energy Organization Act (February 3, 1978)	Relates to certain functions transferred to the Secretary of Energy by the Department of Energy Organization Act . Amended by 12287 - Decontrol of crude oil and refined petroleum products. (Also see E.O.12287)	Procurement Environment	P			
Executive Order 12591, Facilitating Access to Science and Technology, (April 10, 1987)	Amended by E.O. 12618. Authorizes the FAA to apply the policies of the Bayh-Dole Act (inventions made with Government Assistance) to all participants in cooperative agreements. (Also see E.O. 12618)	Agreements		G		
Executive Order 12618, Uniform Treatment of Federally Funded Inventions (December 22, 1987)	Amended E.O. 12591.	Procurement				*
Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction	Requires Federal agencies to follow national and local seismic building codes, whichever provides the greatest margin of safety, when constructing new buildings or modifying existing buildings.	All	P			
Executive Order 12829, National Industrial Security Program, (January 6, 1993) Amended by E.O. 12885	Requires a National Industry Security Program Operating Manual. Amended by E.O. 12885 December 14, 1993 to extend the time to issue the National Industrial Security Program operating manual. (Also see E.O. 12885)	Procurement	P	G		
Executive Order 12919, National Defense Industrial Resources Preparedness (June 3, 1994)	Delegates authority and addresses national defense industrial resource policies and programs under the Defense Production Act of 1950. Supersedes or revokes E.O. 11912.(Also see E.O. 11912)	Procurement				*
Executive Order 12928, Promoting Procurement with Small Businesses Owned and	Establishes policy that all department and agency heads and all Federal employees involved in the procurement of any and all goods and services shall assist SDBs,	Procurement MPPG reporting		G		

Controlled by Socially and Economically Disadvantaged Individuals, Historically Black Colleges and Universities, and Minority Institutions, (Sep 16, 1994)	HBCUs, and MIs, as applicable, to develop viable, self-sustaining, businesses capable of competing on an equal basis in the mainstream of the American economy.					
Executive Order, 13360 Service-Disabled Veterans, (October 21, 2004)	Establishes policy that all heads of agencies shall provide the opportunity for service-disabled veteran businesses to significantly increase the Federal contracting and subcontracting of such businesses.	Procurement		G		
Executive Order 12941, Seismic Safety of Existing Federally Owned or Leased Buildings	Requires Federal Agencies to follow the standards developed, issued and maintained by the Interagency Committee for Seismic Safety in Construction (ICSSC).	All	P			
Executive Order 12958, Classified National Security Information, (April 17, 1995) (Amended by E.O. 13142, Nov. 19, 1999)	Prescribes a uniform system for classifying, safeguarding, and declassifying national security information. Amended by E.O. 13142, November 19, 1999 (Also see E.O. 13142)	Procurement Security	P	G	C	
Executive Order 12968, Access to Classified Information (August 2, 1995)	Establishes a uniform Federal personnel security program for employees who will be considered for initial or continued access to classified information.	Procurement Security	P	G	C	
Executive Order 13043, Increasing Seat Belt Use in the U.S. (April 16, 1997)	Requires seat belt use by Federal employees while on official business and motor vehicle occupants in National Park and Dept. of Defense installations. Encourages Federal contractors, subcontractors, and grantees to adopt and enforce on-the-job seat belt use policies and programs.	Procurement	P		C	
Executive Order 13142, Amendment to	Amended sections 3.4(a), 5.2(a)(b), 5.3(b)(4) of E.O. 12958. (Also see E.O. 12958)	Procurement				*

E.O. 1295, (Nov. 19, 1999)		Security				
Executive Order 13170, Increasing Opportunities and Access for Disadvantaged Businesses (Oct 6, 2000)	Establishes additional incentives for outreach and goal setting to increase opportunities and access for disadvantaged businesses.	Procurement				*
Executive Order 13202, Preservation of Open Communication and Government Neutrality towards Government Contractors (Feb. 17, 2001)	Promotes the economical, non-discriminatory, and efficient administration and completion of Federal and Federally funded or assisted construction projects. (Also see E.O. 13208)	Procurement Real Estate				*
Executive Order 13208, Assisted Construction Projects(April 6, 2001)	Amends E.O. 13202. Added a new section to permit the Head of an Executive Agency to exempt a particular project from the requirements of any or all provisions of Sections 1 and 3 of E.O. 13202. (Also see E.O. 13202)	Procurement Real Estate				*
Executive Order 13221, Energy Efficient Standby Power Devices (July 31, 2001)	Encourages energy conservation by requiring the Government to purchase COTS products that use no more than one watt in their external or internal standby power devices or functions.	Procurement				*
Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management (January 24, 2007)	Revokes E.O. 13101, 13123, 13134, 13148, 13149; and amends E.O. 12088 and 13327. Orders Federal agencies to conduct their environmental, transportation, and energy-related activities, in support of their respective missions within an environmentally, economically and fiscally sound, integrated, continuously improving, efficient and sustainable manner. NOTE: Related and previously revoked Executive Orders include: 11507,11752, 12856, 12873, and 12902.	All	P	G		

**END OF PART II**

**New Content: Acquisition Management Policy:**

**Appendix E: Part II - Executive Orders**

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS:</b>  <b>P=Policy, G=Guidance, C=Clause</b>  <b>*= See Office of Chief Counsel</b>			
Executive Order 10582, Prescribing Uniform Procedures for Certain Determinations Under the Buy-American Act (Dec 17, 1954)	Requires the Government to give preference to domestic end products. (See Buy American Act.) Amended by E.O.'s 10761, 11051, 12148, and 12608. (Also see E.O. 12148)	Procurement		G	C	
Executive Order 10789, Prescribing uniform procedures for certain determinations under the Buy-American Act (November 14, 1958)	Authorizes non-DoD agencies of the Government to exercise certain contracting authority in connection with national-defense functions and to prescribe regulations governing the exercise of such authority. (Also see P.L. 85-804 and E.O. 12919)	Procurement	P	G	C	
Executive Order 11141, Equal Employment Opportunity, (February 12, 1964)	Prescribes policies and procedures pertaining to nondiscrimination in employment by contractors and subcontractors	Procurement	P	G	C	
Executive Order 11701, Employment of veterans by Federal agencies and Government contractors and subcontractors, (Jan. 24, 1973)	Requires each department and agency of the executive branch of the Federal Government to list suitable employment openings with the appropriate office of the State Employment Service or the United States Employment Service and extends the program to Government contractors and subcontractors. (Also see 38 USC 2012)	Procurement		G		
Executive Order 11912, Delegation of Authorities	Superseded or revoked by E.O. 12919, National Defense Industrial Resources Preparedness.(Also see	Procurement	P			

Relating to Energy Policy and Conservation (April 13, 1976)	E.O. 12919)	Environment				
Executive Order 12038, Relating to Certain Functions Transferred to the Secretary of Energy by the Department of Energy Organization Act (February 3, 1978)	Relates to certain functions transferred to the Secretary of Energy by the Department of Energy Organization Act . Amended by 12287 - Decontrol of crude oil and refined petroleum products. (Also see E.O.12287)	Procurement Environment	P			
Executive Order 12591, Facilitating Access to Science and Technology, (April 10, 1987)	Amended by E.O. 12618. Authorizes the FAA to apply the policies of the Bayh-Dole Act (inventions made with Government Assistance) to all participants in cooperative agreements. (Also see E.O. 12618)	Agreements		G		
Executive Order 12618, Uniform Treatment of Federally Funded Inventions (December 22, 1987)	Amended E.O. 12591.	Procurement				*
Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction	Requires Federal agencies to follow national and local seismic building codes, whichever provides the greatest margin of safety, when constructing new buildings or modifying existing buildings.	All	P			
Executive Order 12829, National Industrial Security Program, (January 6, 1993) Amended by E.O. 12885	Requires a National Industry Security Program Operating Manual. Amended by E.O. 12885 December 14, 1993 to extend the time to issue the National Industrial Security Program operating manual. (Also see E.O. 12885)	Procurement	P	G		
Executive Order 12919, National Defense Industrial Resources Preparedness (June 3, 1994)	Delegates authority and addresses national defense industrial resource policies and programs under the Defense Production Act of 1950. Supersedes or revokes E.O. 11912.(Also see E.O. 11912)	Procurement				*
Executive Order 12928, Promoting Procurement with	Establishes policy that all department and agency heads and all Federal employees involved in the	Procurement MPPG		G		

Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals, Historically Black Colleges and Universities, and Minority Institutions, (Sep 16, 1994)	procurement of any and all goods and services shall assist SDBs, HBCUs, and MIs, as applicable, to develop viable, self-sustaining, businesses capable of competing on an equal basis in the mainstream of the American economy.	reporting				
Executive Order, 13360 Service-Disabled Veterans, (October 21, 2004)	Establishes policy that all heads of agencies shall provide the opportunity for service-disabled veteran businesses to significantly increase the Federal contracting and subcontracting of such businesses.	Procurement		G		
Executive Order 12941, Seismic Safety of Existing Federally Owned or Leased Buildings	Requires Federal Agencies to follow the standards developed, issued and maintained by the Interagency Committee for Seismic Safety in Construction (ICSSC).	All	P			
Executive Order 12958, Classified National Security Information, (April 17, 1995) (Amended by E.O. 13142, Nov. 19, 1999)	Prescribes a uniform system for classifying, safeguarding, and declassifying national security information. Amended by E.O. 13142, November 19, 1999 (Also see E.O. 13142)	Procurement Security	P	G	C	
Executive Order 12968, Access to Classified Information(August 2, 1995)	Establishes a uniform Federal personnel security program for employees who will be considered for initial or continued access to classified information.	Procurement Security	P	G	C	
Executive Order 13043, Increasing Seat Belt Use in the U.S. (April 16, 1997)	Requires seat belt use by Federal employees while on official business and motor vehicle occupants in National Park and Dept. of Defense installations. Encourages Federal contractors, subcontractors, and grantees to adopt and enforce on-the-job seat belt use policies and programs.	Procurement	P		C	

Executive Order 13142, Amendment to E.O. 1295, (Nov. 19, 1999)	Amended sections 3.4(a), 5.2(a)(b), 5.3(b)(4) of E.O. 12958. (Also see E.O. 12958)	Procurement Security				*
Executive Order 13170, Increasing Opportunities and Access for Disadvantaged Businesses (Oct 6, 2000)	Establishes additional incentives for outreach and goal setting to increase opportunities and access for disadvantaged businesses.	Procurement				*
Executive Order 13202, Preservation of Open Communications and Government Neutrality towards Government Contractors (Feb. 17, 2001)	Promotes the economical, non-discriminatory, and efficient administration and completion of Federal and Federally funded or assisted construction projects. (Also see E.O. 13208)	Procurement Real Estate				*
Executive Order 13208, Assisted Construction Projects(April 6, 2001)	Amends E.O. 13202. Added a new section to permit the Head of an Executive Agency to exempt a particular project from the requirements of any or all provisions of Sections 1 and 3 of E.O. 13202. (Also see E.O. 13202)	Procurement Real Estate				*
Executive Order 13221, Energy Efficient Standby Power Devices (July 31, 2001)	Encourages energy conservation by requiring the Government to purchase COTS products that use no more than one watt in their external or internal standby power devices or functions.	Procurement				*
Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management (January 24, 2007)	Revokes E.O. 13101, 13123, 13134, 13148, 13149; and amends E.O. 12088 and 13327. Orders Federal agencies to conduct their environmental, transportation, and energy-related activities, in support of their respective missions within an environmentally, economically and fiscally sound, integrated, continuously improving, efficient and sustainable manner. NOTE: Related and previously revoked Executive	All	P	G		

Orders include: 11507,11752, 12856, 12873, and 12902.					
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**END OF PART II**

**Red Line Content: Acquisition Management Policy:  
Appendix E: Part II - Executive Orders**

Title	Description Summary	Functional area affected	Promulgated by AMS:			
			P=Policy, G=Guidance, C=Clause	*= See Office of Chief Counsel		
Executive Order 10582, Prescribing Uniform Procedures for Certain Determinations Under the Buy-American Act (Dec 17, 1954)	Requires the Government to give preference to domestic end products. (See Buy American Act.) Amended by E.O.'s 10761, 11051, 12148, and 12608. (Also see E.O. 12148)	Procurement		G	C	
Executive Order 10789, Prescribing uniform procedures for certain determinations under the Buy-American Act (November 14, 1958)	Authorizes non-DoD agencies of the Government to exercise certain contracting authority in connection with national-defense functions and to prescribe regulations governing the exercise of such authority. (Also see P.L. 85-804 and E.O. 12919)	Procurement	P	G	C	
Executive Order 11141, Equal Employment Opportunity, (February 12, 1964)	Prescribes policies and procedures pertaining to nondiscrimination in employment by contractors and subcontractors	Procurement	P	G	C	
Executive Order 11701, Employment of veterans by Federal agencies and Government contractors and subcontractors, (Jan. 24, 1973)	Requires each department and agency of the executive branch of the Federal Government to list suitable employment openings with the appropriate office of the State Employment Service or the United States Employment Service and extends the program to Government contractors and subcontractors. (Also see 38 USC 2012)	Procurement		G		
Executive Order 11912, Delegation of Authorities Relating to	Superseded or revoked by E.O. 12919, National Defense Industrial Resources Preparedness.(Also see	Procurement	P			

Energy Policy and Conservation (April 13, 1976)	E.O. 12919)	Environment				
Executive Order 12038, Relating to Certain Functions Transferred to the Secretary of Energy by the Department of Energy Organization Act (February 3, 1978)	Relates to certain functions transferred to the Secretary of Energy by the Department of Energy Organization Act . Amended by 12287 - Decontrol of crude oil and refined petroleum products. (Also see E.O.12287)	Procurement Environment	P			
Executive Order 12591, Facilitating Access to Science and Technology, (April 10, 1987)	Amended by E.O. 12618. Authorizes the FAA to apply the policies of the Bayh-Dole Act (inventions made with Government Assistance) to all participants in cooperative agreements. (Also see E.O. 12618)	Agreements		G		
Executive Order 12618, Uniform Treatment of Federally Funded Inventions (December 22, 1987)	Amended E.O. 12591.	Procurement				*
Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction	Requires Federal agencies to follow national and local seismic building codes, whichever provides the greatest margin of safety, when constructing new buildings or modifying existing buildings.	All	P			
Executive Order 12829, National Industrial Security Program, (January 6, 1993) Amended by E.O. 12885	Requires a National Industry Security Program Operating Manual. Amended by E.O. 12885 December 14, 1993 to extend the time to issue the National Industrial Security Program operating manual. (Also see E.O. 12885)	Procurement	P	G		
Executive Order 12919, National Defense Industrial Resources Preparedness (June 3, 1994)	Delegates authority and addresses national defense industrial resource policies and programs under the Defense Production Act of 1950. Supersedes or revokes E.O. 11912.(Also see E.O. 11912)	Procurement				*
Executive Order 12928, Promoting Procurement with Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals, Historically	Establishes policy that all department and agency heads and all Federal employees involved in the procurement of any and all goods and services shall assist SDBs, HBCUs, and MIs, as applicable, to develop viable, self-sustaining, businesses capable of	Procurement MPPG reporting		G		

Black Colleges and Universities, and Minority Institutions, (Sep 16, 1994)	competing on an equal basis in the mainstream of the American economy.					
Executive Order, 13360 Service-Disabled Veterans, (October 21, 2004)	Establishes policy that all heads of agencies shall provide the opportunity for service-disabled veteran businesses to significantly increase the Federal contracting and subcontracting of such businesses.	Procurement		G		
Executive Order 12941, Seismic Safety of Existing Federally Owned or Leased Buildings	Requires Federal Agencies to follow the standards developed, issued and maintained by the Interagency Committee for Seismic Safety in Construction (ICSSC).	All	P			
Executive Order 12958, Classified National Security Information, (April 17, 1995) (Amended by E.O. 13142, Nov. 19, 1999)	Prescribes a uniform system for classifying, safeguarding, and declassifying national security information. Amended by E.O. 13142, November 19, 1999 (Also see E.O. 13142)	Procurement Security	P	G	C	
Executive Order 12968, Access to Classified Information(August 2, 1995)	Establishes a uniform Federal personnel security program for employees who will be considered for initial or continued access to classified information.	Procurement Security	P	G	C	
Executive Order 13043, Increasing Seat Belt Use in the U.S. (April 16, 1997)	Requires seat belt use by Federal employees while on official business and motor vehicle occupants in National Park and Dept. of Defense installations. Encourages Federal contractors, subcontractors, and grantees to adopt and enforce on-the-job seat belt use policies and programs.	Procurement	P		C	
Executive Order 13142, Amendment to E.O. 1295, (Nov. 19, 1999)	Amended sections 3.4(a), 5.2(a)(b), 5.3(b)(4) of E.O. 12958. (Also see E.O. 12958)	Procurement Security				*
Executive Order 13170, Increasing Opportunities and Access for Disadvantaged Businesses (Oct 6,	Establishes additional incentives for outreach and goal setting to increase opportunities and access for disadvantaged businesses.	Procurement				*

2000)						
Executive Order 13202, Preservation of Open <del>Communi-</del> <del>cation</del> <b>Communications</b> and <del>Govern-</del> <del>ment</del> <b>Government</b> Neutrality towards Government Contractors (Feb. 17, 2001)	Promotes the economical, non-discriminatory, and efficient administration and completion of Federal and Federally funded or assisted construction projects. (Also see E.O. 13208)	Procurement Real Estate				*
Executive Order 13208, Assisted Construction Projects(April 6, 2001)	Amends E.O. 13202. Added a new section to permit the Head of an Executive Agency to exempt a particular project from the requirements of any or all provisions of Sections 1 and 3 of E.O. 13202. (Also see E.O. 13202)	Procurement Real Estate				*
Executive Order 13221, Energy Efficient Standby Power Devices (July 31, 2001)	Encourages energy conservation by requiring the Government to purchase COTS products that use no more than one watt in their external or internal standby power devices or functions.	Procurement				*
Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management (January 24, 2007)	Revokes E.O. 13101, 13123, 13134, 13148, 13149; and amends E.O. 12088 and 13327. Orders Federal agencies to conduct their environmental, transportation, and energy-related activities, in support of their respective missions within an environmentally, economically and fiscally sound, integrated, continuously improving, efficient and sustainable manner. NOTE: Related and previously revoked Executive Orders include: 11507,11752, 12856, 12873, and 12902.	All	P	G		

**END OF PART II**

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**Appendix E: Part IV - External Authorities applicable to Real Estate**

**Old Content: Acquisition Management Policy:**

**Appendix E: Part IV - External Authorities applicable to Real Estate**

**Part IV A: Statutes**

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS:</b>  <b>P=Policy, G=Guidance, C=Clause</b>  <b>*=See Office of Chief Counsel</b>			
Act of December 10, 1941 (40 USC 291)	Requires Federal agencies to admit seeing-eye dogs or other guide dogs accompanied by their blind masters to any building or other property owned or controlled by the United States.	Real Estate	P			
Administrative Procedures Act (5 USC 500 se seq)	Authorizes a duly qualified individual to represent a person before an agency.	All				*
Anti-Kickback Act(41 USC 51-58)	Prohibits offering or accepting kickbacks; criminal penalties apply.	Ethics Procurement Real Estate			C	*
Architectural Barriers Act of 1968 (42 USC 4151-4157)	Requires facilities be provided to ensure ready access for disabled persons to public buildings and certain interior spaces.	Real Estate	P	G	C	
Assignment of Claims (31 USC 3727, 41 USC 15)	Authorizes the lessor to assign his rights to be paid under a lease agreement	Real Estate			C	
Bribery and Conflict of Interest Laws (18 USC 201)	Prescribes fines and punishment for bribery of public officials and witnesses.	All				*
Bribery and Conflict of Interest Laws (18 USC 208)	Prescribes acts and penalties affecting a personal financial interest.	All	P			
Child Care Services for Federal Employees in Federal Buildings	Provides Federal agencies with the authority to allot space in Federal buildings to individuals or entities that will provide child care services to Federal employees.	Real Estate	P			
Clean Air Act of 1963 (42 USC 7401)	Requires the utilization in Federal air control programs of all available and appropriate facilities and resources	Real Estate	P			

	within the Federal Government for the prevention and abatement of air pollution.					
Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) (42 USC 9601)	Provides for liability, compensation, cleanup and emergency response for hazardous substances released into the environment, and the cleanup of hazardous waste disposal sites.	Real Estate	P			
Energy Independence and Security Act of 2007 (Pub. L. 110-140)	Amends portions of the National Energy Conservation Policy Act (42 USC 8253(a)(1) and adopts the energy intensity reduction goals of Executive Order 13423 beginning in year 2008. Provides for enhanced building standards, lighting, and water and energy usage goals.	Real Estate Procurement	P			
Energy Policy Act (EPAAct) of 2005	Provides for increased energy and water efficiency.	Real Estate	P			
Energy Policy Act of 1992 (Pub. L. 102-486, 106 Stat. 2776)	Provides for increased energy efficiency. Superseded, in part, by the EPAAct of 2005.	Real Estate Procurement	P			
False Claims Act(31 USC 3729)	Specifies civil penalties for false claims against the U.S.	All		G		*
Federal Aviation Authorization Act of 1996 (49 USC 106)	The Administrator is authorized to enter into and perform such contracts, leases, cooperative agreements, or other transactions.	Real Estate	P	G		
Federal Water Pollution Control Act (33 USC 1251)	Requires that all agencies comply with all Federal, State, interstate, and local requirements, respecting the control and abatement of water pollution.	Real Estate	P			
Federal Property and Administrative Services Act of 1949, as amended (40 USC 471)	This act establishes the Federal Building Fund and provides the Administrator of General Services Administration with an important source of real property related authority. FAA is not required to follow Title II of this act.	Real Estate	P	G		
Federal Water Pollution Control Act (33 USC 1251)	Requires that all agencies of the executive, legislative, and judicial branches of the Federal Government must comply with all Federal, State, interstate, and local requirements respecting the control and abatement of water pollution.	Real Estate	P			
Freedom of Information Act of	Regulates the release of public information; agency rules, opinions,	All	P	G	C	

1986 (5 USC 552)	orders, records, and proceedings.					
General Procurement Authority (49 USC 40110)	The Administrator may acquire services or, by condemnation or otherwise, and interest in property, and may dispose of an interest in property.	Real Estate	P	G		
General Facilities and Personnel Authority (49 USC 44502)	Provides general authority to the Administrator of the Federal Aviation Administration to acquire, establish, improve, operate, and maintain air navigation facilities; and provide facilities and personnel to regulate and protect air traffic.	Procurement Real Estate	P	G		
Gift and Bequests (49 USC 326)	Authorizes the Administrator to accept any conditional or unconditional gift or donation of money or property, real or personal, or of services for the FAA.	All		G		
National Earthquake Hazards Reduction Act of 1977 (P.L. 95-124), Amended 1990 (P.L. 101-614) (42 USC 7701 et seq.)	Requires Agencies to adopt standards for assessing and enhancing the seismic safety of buildings designed for, or constructed by, or leased by the Federal Government.	Real Estate	P			
Paperwork Reduction Act (44 U.S.C. 3501)	Requires Federal Agencies to become more responsible and publicly accountable for reducing the burden of Federal paperwork on the public, and for other purposes resulting from the collection of information by or for the Federal Government.	All	P			
Public Buildings Act of 1959, as amended (40 USC 601-619)	This act establishes a prospectus threshold, applicable to all federal agencies. Also the Administrator of GSA has authority to construct, acquire, and alter public buildings.	Real Estate	P			
Public Buildings Cooperative Use Act of 1976 (40 USC 601a, 612a.)	Requires the Administrator of GSA to acquire and utilize space in suitable buildings of historic, architectural, or cultural significance.	Real Estate	P			
National Environmental Policy Act of 1969 (42 USC 4321)	Requires consideration of environmental factors in the decision-making process for major Federal actions.	Real Estate	P			
National Historic Preservation Act (16 USC 470)	Requires Federal agencies to take into account the effect of any Federal undertaking on any property	Real Estate	P			

	in or eligible for listing in the National Register of Historic Places.					
Occupational Safety and Health Act of 1970, amended (29 USC 653)	Requires Federal agencies to provide safe and healthful places and conditions of employment.	Real Estate	P	G	C	
Quarters and facilities; employees in the United States (5 USC 5911)	Agency may provide quarters and facilities for employees when conditions warrant.	Real Estate	P			
Randolph-Sheppard Vending Facility Act, amended (20 U.S.C. 107 - 107f)	Provides for blind persons licensed under the provisions of this chapter authorization to operate vending facilities on any Federal property.	Procurement Real Estate	P P	G G		
Rehabilitation Act of 1973, amended (Pub. L. 93-112, 387 Stat. 355)	Requires Federal agencies to ensure compliance with standards set by GSA, DOD and HUD pursuant to the Architectural Barriers Act of 1968.	Real Estate	P	G		
Rural Development Act of 1972 (Pub. L. 92-419, 86 Stat. 657)	Provides for improving the economy and living conditions in rural America. FAA must give first consideration to rural areas when locating new space, land, and other facilities	Real Estate	P	G	C	
Stewart B. McKinney Homeless Assistance Act (42 USC 11411-11412)	Requires Federal agencies to make available surplus real property to homeless organizations.	Real Estate	P			
Superfund Amendments and Reauthorization Act of 1986, amended (42 USC 9601-9675)	Extends and amends CERCLA.					*
Service, supplies, and facilities at remote places (49 USC 331)	Agency may provide when necessary, services, supplies, and facilities at remote places.	Real Estate	P			
Title 49, USC, Section 1159 (a) and (c)	Airport property and airway property in territory (including Alaska) outside the continental limits of the United States.	Real Estate	P			
Uniform Relocation Assistance and	Requires Federal agencies to treat all property owners and other affected persons in a fair and equitable	Real Estate	P	G		

Real Property Acquisition (42 USC 4651-4655)	manner, and to provide relocation services and benefits to persons displaced by Federal agency's acquisition of their real property.					
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**Part IV B: Executive Orders**

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS:</b>  <b>P=Policy, G=Guidance, C=Clause</b>  <b>*=See Office of Chief Counsel</b>			
Executive Order 11508, Providing for the Identification of Unneeded Federal Real Property (Feb. 12, 1970)	Establishes a uniform policy for Executive branch concerning the identification of excess real property holdings.	Real Estate	P			
Executive Order 11593, Protection and Enhancement of the Cultural Environment (May 13, 1971)	Requires Federal Agencies to direct their policies, plans and programs that federally owned sites, and structures are preserved, restored and maintained.	Real Estate	P			
Executive Order 11738, Providing for Administration of the Clean Air Act and the Federal Water Pollution Control Act with respects to Federal Contracts, Grants, or Loans (Sept. 12, 1973)	Requires Federal agencies having authority to enter into contracts to conduct its acquisitions that will result in effective enforcement of the Clean Air Act and the Federal Water Pollution Control Act.	Real Estate	P			
Executive Order 11988, Floodplain Management (May 24, 1977)	Requires that agencies take action to reduce the risk of flood loss and to restore and preserve the natural and beneficial values served by floodplains for acquiring, managing and disposing of Federal lands and facilities.	Real Estate	P			
Executive Order 11990, Protection	Requires that agencies take action to minimize the destruction, loss or	Real Estate	P			

of Wetlands (May 24, 1977)	degradation of wetlands, and to preserve and enhance the natural and beneficial values of wetlands for acquiring, managing, and disposing of Federal lands and facilities.					
Executive Order 12003, Relating to Energy Policy and Conservation (July 20, 1977)	Requires buildings constructed for Government lease to meet certain energy consumption design specifications.	Real Estate	P			
Executive Order 12088, Federal Compliance with Pollution Control Standards (October 13, 1978)	Requires agencies ensure action is taken to prevent, control, and abate environmental pollution with respect to Federal facilities and activities. Revoked, in part, by EO 13423.	Real Estate	P			
Executive Order 12196, Occupational Safety and Health Programs	Requires Federal agencies to establish and maintain occupational safety and health programs for Federal employees.	Real Estate	P			
Executive Order 12512, Federal Real Property Management (April 29, 1985)	Authorizes the GSA administrator to provide Government wide policy oversight and guidance for Federal real property management.	Real Estate	P			
Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction (January 5, 1990)	Requires agencies responsible for the design and construction of each new Federal building and/or the construction and lease of new buildings for Federal use to ensure the building is designed and constructed in accord with appropriate seismic design and construction standards.	All	P			
Executive Order 12941, Seismic Safety of Existing Federally Owned and Leased Buildings (December 1994)	Requires agencies to meet substantial life safety standards for seismic.	Real Estate	P			
Executive Order 13202, Preservation of Open Communication and Government Neutrality towards Government	Promotes the economical, non-discriminatory, and efficient administration and completion of Federal and Federally funded or assisted construction projects. (Also see E.O. 13208)	Procurement Real Estate				*

Contractors (Feb. 17, 2001)						
Executive Order 13208, Assisted Construction Projects (April 6, 2001)	Amends E.O. 13202. Added a new section to permit the Head of an Executive Agency to exempt a particular project from the requirements of any or all provisions of Sections 1 and 3 of E.O. 13202. (Also see E.O. 13202)	Procurement Real Estate				*
Executive Order 13327, Federal Real Property Asset Management (Feb. 4, 2004)	To improve the overall management of Federal real property assets on a Government-wide level. Amended by E.O. 13423.	Real Estate	P			
Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management (January 24, 2007)	Revokes E.O. 13101, 13123, 13134, 13148, and 13149, and amends E.O. 12088 and 13327. Provides that (i) new construction and major renovation of agency buildings; and (ii) 15 percent of the existing Federal capital asset building inventory of Federal agencies move towards sustainable environmental practices. Note: Related and previously revoked Executive Orders include: 11507, 11752, 12856, 12873, and 12902.	All	P	G		

#### Part IV C: Regulations/Standards

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS:</b>  <b>P=Policy, G=Guidance, C=Clause</b>  <b>*=See Office of Chief Counsel</b>			
Department of Transportation Policy for Seismic Safety of New and Existing DOT Owned or Leased Buildings (DOT SS-98-01)	Requires each DOT Operating Administration to ensure that new DOT owned buildings and additions and new buildings leased for DOT occupancy, are designed and constructed to comply with appropriate seismic design and construction standards. Additionally, each Operating Administration is required to mitigate unacceptable	All	P			

	earthquake risks in existing buildings via a long-term risk mitigation program.					
Federal Management Regulations (formerly Federal Property Management)	Prescribes regulations, policies, procedures and delegations of authority pertaining to the management of property, inventory, and disposal when FAA leases real property through GSA. Serves as guidelines for FAA direct lease actions.	Real Estate	P	G		
FEMA 74, Reducing the Risk of Nonstructural Earthquake Damage, (Sep. 1994)	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for equipment and other building system installation, risk mitigation and guidance on prioritizing projects.	All	P			
FEMA 310, Handbook for the Seismic Evaluation of Buildings: A Pre-Standard, (January 1998)	Provides requirements for identification of unacceptable seismic risks in existing buildings and equipment installations.	All	P			
FEMA 356, NEHRP. Pre-Standard and Commentary for the Seismic Rehabilitation of Buildings, (November 2000)	Provides requirements for mitigation of unacceptable seismic risks in existing buildings and equipment installations.	All	P			
FEMA 368/369, 2000 NEHRP Provision for Seismic Regulations for New Buildings and Other Structures, Parts 1 and 2, 2001.	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for the construction of new buildings as well as design and installation of new equipment for installation in any new or existing building.	All	P			
International Building Code (IBC) (2000/2003)	Establishes the current international building code in effect for all new construction of Federal buildings.	All	P			
Local Seismic Building codes (depends on location of project or installation site)	Requires use of local seismic building codes if they require a greater margin of safety than international or national building codes.	All	P			

NIST RP-6, standards for Seismic Safety for Existing Federally Owned or Leased Buildings, (January 2002)	Provides requirements for leasing and acquisition of existing buildings.	All	P			
Occupational Safety and Health Administration Regulations (29 CFR 1910.38)	Requires a written plan for emergency situations for each workplace where there is a possibility of an emergency. Appropriate portions of the plan shall be implemented in the event of an emergency.	All	P	G	C	
Protests and Contract Disputes; 14 CFR, Parts 14 & 17.	Prescribes procedures for protests and contract disputes.	All	P		C	
Standards of Conduct for Employees of the Executive Branch (5 CFR 2635)	Prohibits conflicts of interest	All	P	G	C	
Uniform Federal Accessibility Standards (UFAS) (41 CFR 101-19.6 App. A)	Prescribes handicapped accessibility regulations for Federally owned or leased building premises.	Real Estate	P	G	C	

**End of Part IV**

**New Content:** Acquisition Management Policy:  
**Appendix E: Part IV - External Authorities applicable to Real Estate**

**Part IV A: Statutes**

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS:</b>  <b>P=Policy, G=Guidance, C=Clause</b>  <b>*=See Office of Chief Counsel</b>			
Act of December 10, 1941 (40 USC 291)	Requires Federal agencies to admit seeing-eye dogs or other guide dogs accompanied by their blind masters to any building or other property	Real Estate	P			

	owned or controlled by the United States.					
Administrative Procedures Act (5 USC 500 se seq)	Authorizes a duly qualified individual to represent a person before an agency.	All				*
Anti-Kickback Act(41 USC 51-58)	Prohibits offering or accepting kickbacks; criminal penalties apply.	Ethics Procurement Real Estate			C	*
Architectural Barriers Act of 1968 (42 USC 4151-4157)	Requires facilities be provided to ensure ready access for disabled persons to public buildings and certain interior spaces.	Real Estate	P	G	C	
Assignment of Claims (31 USC 3727, 41 USC 15)	Authorizes the lessor to assign his rights to be paid under a lease agreement	Real Estate			C	
Bribery and Conflict of Interest Laws (18 USC 201)	Prescribes fines and punishment for bribery of public officials and witnesses.	All				*
Bribery and Conflict of Interest Laws (18 USC 208)	Prescribes acts and penalties affecting a personal financial interest.	All	P			
Child Care Services for Federal Employees in Federal Buildings	Provides Federal agencies with the authority to allot space in Federal buildings to individuals or entities that will provide child care services to Federal employees.	Real Estate	P			
Clean Air Act of 1963 (42 USC 7401)	Requires the utilization in Federal air control programs of all available and appropriate facilities and resources within the Federal Government for the prevention and abatement of air pollution.	Real Estate	P			
Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) (42 USC 9601)	Provides for liability, compensation, cleanup and emergency response for hazardous substances released into the environment, and the cleanup of hazardous waste disposal sites.	Real Estate	P			
Energy Independence and Security Act of 2007 (Pub. L. 110-140)	Amends portions of the National Energy Conservation Policy Act (42 USC 8253(a)(1) and adopts the energy intensity reduction goals of Executive Order 13423 beginning in year 2008. Provides for enhanced	Real Estate Procurement	P			

	building standards, lighting, and water and energy usage goals.					
Energy Policy Act (EPAct) of 2005	Provides for increased energy and water efficiency.	Real Estate	P			
Energy Policy Act of 1992 (Pub. L. 102-486, 106 Stat. 2776)	Provides for increased energy efficiency. Superseded, in part, by the EPAct of 2005.	Real Estate Procurement	P			
False Claims Act(31 USC 3729)	Specifies civil penalties for false claims against the U.S.	All		G		*
Federal Aviation Authorization Act of 1996 (49 USC 106)	The Administrator is authorized to enter into and perform such contracts, leases, cooperative agreements, or other transactions.	Real Estate	P	G		
Federal Water Pollution Control Act (33 USC 1251)	Requires that all agencies comply with all Federal, State, interstate, and local requirements, respecting the control and abatement of water pollution.	Real Estate	P			
Federal Property and Administrative Services Act of 1949, as amended (40 USC 471)	This act establishes the Federal Building Fund and provides the Administrator of General Services Administration with an important source of real property related authority. FAA is not required to follow Title II of this act.	Real Estate	P	G		
Federal Water Pollution Control Act (33 USC 1251)	Requires that all agencies of the executive, legislative, and judicial branches of the Federal Government must comply with all Federal, State, interstate, and local requirements respecting the control and abatement of water pollution.	Real Estate	P			
Freedom of Information Act of 1986 (5 USC 552)	Regulates the release of public information; agency rules, opinions, orders, records, and proceedings.	All	P	G	C	
General Procurement Authority (49 USC 40110)	The Administrator may acquire services or, by condemnation or otherwise, and interest in property, and may dispose of an interest in property.	Real Estate	P	G		
General Facilities and Personnel Authority (49 USC 44502)	Provides general authority to the Administrator of the Federal Aviation Administration to acquire, establish, improve, operate, and maintain air navigation facilities; and provide facilities and personnel to regulate and protect air traffic.	Procurement Real Estate	P	G		
Gift and Bequests (49 USC 326)	Authorizes the Administrator to accept any conditional or unconditional gift or donation of	All		G		

	money or property, real or personal, or of services for the FAA.					
National Earthquake Hazards Reduction Act of 1977 (P.L. 95-124), Amended 1990 (P.L. 101-614) (42 USC 7701 et seq.)	Requires Agencies to adopt standards for assessing and enhancing the seismic safety of buildings designed for, or constructed by, or leased by the Federal Government.	Real Estate	P			
Paperwork Reduction Act (44 U.S.C. 3501)	Requires Federal Agencies to become more responsible and publicly accountable for reducing the burden of Federal paperwork on the public, and for other purposes resulting from the collection of information by or for the Federal Government.	All	P			
Public Buildings Act of 1959, as amended (40 USC 601-619)	This act establishes a prospectus threshold, applicable to all federal agencies. Also the Administrator of GSA has authority to construct, acquire, and alter public buildings.	Real Estate	P			
Public Buildings Cooperative Use Act of 1976 (40 USC 601a, 612a.)	Requires the Administrator of GSA to acquire and utilize space in suitable buildings of historic, architectural, or cultural significance.	Real Estate	P			
National Environmental Policy Act of 1969 (42 USC 4321)	Requires consideration of environmental factors in the decision-making process for major Federal actions.	Real Estate	P			
National Historic Preservation Act (16 USC 470)	Requires Federal agencies to take into account the effect of any Federal undertaking on any property in or eligible for listing in the National Register of Historic Places.	Real Estate	P			
Occupational Safety and Health Act of 1970, amended (29 USC 653)	Requires Federal agencies to provide safe and healthful places and conditions of employment.	Real Estate	P	G	C	
Quarters and facilities; employees in the United States (5 USC 5911)	Agency may provide quarters and facilities for employees when conditions warrant.	Real Estate	P			
Randolph-Sheppard Vending Facility Act, amended (20	Provides for blind persons licensed under the provisions of this chapter authorization to operate vending	Procurement Real Estate	P P	G G		

U.S.C. 107 - 107f)	facilities on any Federal property.					
Rehabilitation Act of 1973, amended (Pub. L. 93-112, 387 Stat. 355)	Requires Federal agencies to ensure compliance with standards set by GSA, DOD and HUD pursuant to the Architectural Barriers Act of 1968.	Real Estate	P	G		
Rural Development Act of 1972 (Pub. L. 92-419, 86 Stat. 657)	Provides for improving the economy and living conditions in rural America. FAA must give first consideration to rural areas when locating new space, land, and other facilities	Real Estate	P	G	C	
Stewart B. McKinney Homeless Assistance Act (42 USC 11411-11412)	Requires Federal agencies to make available surplus real property to homeless organizations.	Real Estate	P			
Superfund Amendments and Reauthorization Act of 1986, amended (42 USC 9601-9675)	Extends and amends CERCLA.					*
Service, supplies, and facilities at remote places (49 USC 331)	Agency may provide when necessary, services, supplies, and facilities at remote places.	Real Estate	P			
Title 49, USC, Section 1159 (a) and (c)	Airport property and airway property in territory (including Alaska) outside the continental limits of the United States.	Real Estate	P			
Uniform Relocation Assistance and Real Property Acquisition (42 USC 4651-4655)	Requires Federal agencies to treat all property owners and other affected persons in a fair and equitable manner, and to provide relocation services and benefits to persons displaced by Federal agency's acquisition of their real property.	Real Estate	P	G		

**Part IV B: Executive Orders**

			<b>Promulgated by AMS:</b>
			<b>P=Policy, G=Guidance, C=Clause</b>
		<b>Functional area affected</b>	<b>*=See Office of</b>

Title	Description Summary		Chief Counsel			
Executive Order 11508, Providing for the Identification of Unneeded Federal Real Property (Feb. 12, 1970)	Establishes a uniform policy for Executive branch concerning the identification of excess real property holdings.	Real Estate	P			
Executive Order 11593, Protection and Enhancement of the Cultural Environment (May 13, 1971)	Requires Federal Agencies to direct their policies, plans and programs that federally owned sites, and structures are preserved, restored and maintained.	Real Estate	P			
Executive Order 11738, Providing for Administration of the Clean Air Act and the Federal Water Pollution Control Act with respects to Federal Contracts, Grants, or Loans (Sept. 12, 1973)	Requires Federal agencies having authority to enter into contracts to conduct its acquisitions that will result in effective enforcement of the Clean Air Act and the Federal Water Pollution Control Act.	Real Estate	P			
Executive Order 11988, Floodplain Management (May 24, 1977)	Requires that agencies take action to reduce the risk of flood loss and to restore and preserve the natural and beneficial values served by floodplains for acquiring, managing and disposing of Federal lands and facilities.	Real Estate	P			
Executive Order 11990, Protection of Wetlands (May 24, 1977)	Requires that agencies take action to minimize the destruction, loss or degradation of wetlands, and to preserve and enhance the natural and beneficial values of wetlands for acquiring, managing, and disposing of Federal lands and facilities.	Real Estate	P			
Executive Order 12003, Relating to Energy Policy and Conservation (July 20, 1977)	Requires buildings constructed for Government lease to meet certain energy consumption design specifications.	Real Estate	P			
Executive Order 12088, Federal Compliance with Pollution Control Standards (October 13,	Requires agencies ensure action is taken to prevent, control, and abate environmental pollution with respect to Federal facilities and activities. Revoked, in part, by EO 13423.	Real Estate	P			

1978)						
Executive Order 12196, Occupational Safety and Health Programs	Requires Federal agencies to establish and maintain occupational safety and health programs for Federal employees.	Real Estate	P			
Executive Order 12512, Federal Real Property Management (April 29, 1985)	Authorizes the GSA administrator to provide Government wide policy oversight and guidance for Federal real property management.	Real Estate	P			
Executive Order 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction (January 5, 1990)	Requires agencies responsible for the design and construction of each new Federal building and/or the construction and lease of new buildings for Federal use to ensure the building is designed and constructed in accord with appropriate seismic design and construction standards.	All	P			
Executive Order 12941, Seismic Safety of Existing Federally Owned and Leased Buildings (December 1994)	Requires agencies to meet substantial life safety standards for seismic.	Real Estate	P			
Executive Order 13202, Preservation of Open Communication and Government Neutrality towards Government Contractors (Feb. 17, 2001)	Promotes the economical, non-discriminatory, and efficient administration and completion of Federal and Federally funded or assisted construction projects. (Also see E.O. 13208)	Procurement Real Estate				*
Executive Order 13208, Assisted Construction Projects (April 6, 2001)	Amends E.O. 13202. Added a new section to permit the Head of an Executive Agency to exempt a particular project from the requirements of any or all provisions of Sections 1 and 3 of E.O. 13202. (Also see E.O. 13202)	Procurement Real Estate				*
Executive Order 13327, Federal Real Property Asset Management (Feb. 4, 2004)	To improve the overall management of Federal real property assets on a Government-wide level. Amended by E.O. 13423.	Real Estate	P			
Executive Order	Revokes E.O. 13101, 13123, 13134,	All	P	G		

13423, Strengthening Federal Environmental, Energy, and Transportation Management (January 24, 2007)	13148, and 13149, and amends E.O. 12088 and 13327. Provides that (i) new construction and major renovation of agency buildings; and (ii) 15 percent of the existing Federal capital asset building inventory of Federal agencies move towards sustainable environmental practices. Note: Related and previously revoked Executive Orders include: 11507,11752, 12856, 12873, and 12902.					
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**Part IV C: Regulations/Standards**

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS:</b>  <b>P=Policy, G=Guidance, C=Clause</b>  <b>*=See Office of Chief Counsel</b>			
Department of Transportation Policy for Seismic Safety of New and Existing DOT Owned or Leased Buildings (DOT SS-98-01)	Requires each DOT Operating Administration to ensure that new DOT owned buildings and additions and new buildings leased for DOT occupancy, are designed and constructed to comply with appropriate seismic design and construction standards. Additionally, each Operating Administration is required to mitigate unacceptable earthquake risks in existing buildings via a long-term risk mitigation program.	All	P			
Federal Management Regulations (formerly Federal Property Management)	Prescribes regulations, policies, procedures and delegations of authority pertaining to the management of property, inventory, and disposal when FAA leases real property through GSA. Serves as guidelines for FAA direct lease actions.	Real Estate	P	G		
FEMA 74, Reducing the Risk of Nonstructural Earthquake Damage, (Sep.	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for equipment and other building system installation, risk mitigation and	All	P			

1994)	guidance on prioritizing projects.					
FEMA 310, Handbook for the Seismic Evaluation of Buildings: A Pre-Standard, (January 1998)	Provides requirements for identification of unacceptable seismic risks in existing buildings and equipment installations.	All	P			
FEMA 356, NEHRP. Pre-Standard and Commentary for the Seismic Rehabilitation of Buildings, (November 2000)	Provides requirements for mitigation of unacceptable seismic risks in existing buildings and equipment installations.	All	P			
FEMA 368/369, 2000 NEHRP Provision for Seismic Regulations for New Buildings and Other Structures, Parts 1 and 2, 2001.	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for the construction of new buildings as well as design and installation of new equipment for installation in any new or existing building.	All	P			
International Building Code (IBC) (2000/2003)	Establishes the current international building code in effect for all new construction of Federal buildings.	All	P			
Local Seismic Building codes (depends on location of project or installation site)	Requires use of local seismic building codes if they require a greater margin of safety than international or national building codes.	All	P			
NIST RP-6, standards for Seismic Safety for Existing Federally Owned or Leased Buildings, (January 2002)	Provides requirements for leasing and acquisition of existing buildings.	All	P			
Occupational Safety and Health Administration Regulations (29 CFR 1910.38)	Requires a written plan for emergency situations for each workplace where there is a possibility of an emergency. Appropriate portions of the plan shall be implemented in the event of an emergency.	All	P	G	C	
Protests and Contract	Prescribes procedures for protests and contract disputes.	All	P		C	

Disputes; 14 CFR, Parts 14 & 17.						
Standards of Conduct for Employees of the Executive Branch (5 CFR 2635)	Prohibits conflicts of interest	All	P	G	C	
Uniform Federal Accessibility Standards (UFAS) (41 CFR 101-19.6 App. A)	Prescribes handicapped accessibility regulations for Federally owned or leased building premises.	Real Estate	P	G	C	

**End of Part IV**

**Red Line Content:** Acquisition Management Policy:  
**Appendix E: Part IV - External Authorities applicable to Real Estate**

**Part IV A: Statutes**

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS:</b>  <b>P=Policy, G=Guidance, C=Clause</b>  <b>*=See Office of Chief Counsel</b>			
Act of December 10, 1941 (40 USC 291)	Requires Federal agencies to admit seeing-eye dogs or other guide dogs accompanied by their blind masters to any building or other property owned or controlled by the United States.	Real Estate	P			
Administrative Procedures Act (5 USC 500 se seq)	Authorizes a duly qualified individual to represent a person before an agency.	All				*
Anti-Kickback Act(41 USC 51-58)	Prohibits offering or accepting kickbacks; criminal penalties apply.	Ethics Procurement Real Estate			C	*
Architectural Barriers Act of 1968 (42 USC 4151-4157)	Requires facilities be provided to ensure ready access for disabled persons to public buildings and certain interior spaces.	Real Estate	P	G	C	
Assignment of Claims (31 USC	Authorizes the lessor to assign his rights to be paid under a lease	Real Estate			C	

3727, 41 USC 15)	agreement					
Bribery and Conflict of Interest Laws  (18 USC 201)	Prescribes fines and punishment for bribery of public officials and witnesses.	All				*
Bribery and Conflict of Interest Laws (18 USC 208)	Prescribes acts and penalties affecting a personal financial interest.	All	P			
Child Care Services for Federal Employees in Federal Buildings	Provides Federal agencies with the authority to allot space in Federal buildings to individuals or entities that will provide child care services to Federal employees.	Real Estate	P			
Clean Air Act of 1963 (42 USC 7401)	Requires the utilization in Federal air control programs of all available and appropriate facilities and resources within the Federal Government for the prevention and abatement of air pollution.	Real Estate	P			
Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) (42 USC 9601)	Provides for liability, compensation, cleanup and emergency response for hazardous substances released into the environment, and the cleanup of hazardous waste disposal sites.	Real Estate	P			
Energy Independence and Security Act of 2007 (Pub. L. 110-140)	Amends portions of the National Energy Conservation Policy Act (42 USC 8253(a)(1) and adopts the energy intensity reduction goals of Executive Order 13423 beginning in year 2008. Provides for enhanced building standards, lighting, and water and energy usage goals.	Real Estate  Procurement	P			
Energy Policy Act (EPAAct) of 2005	Provides for increased energy and water efficiency.	Real Estate	P			
Energy Policy Act of 1992 (Pub. L. 102-486, 106 Stat. 2776)	Provides for increased energy efficiency. <del>Superseded</del> <b>Superseded</b> , in part, by the EPAAct of 2005.	Real Estate  Procurement	P			
False Claims Act(31 USC 3729)	Specifies civil penalties for false claims against the U.S.	All		G		*
Federal Aviation Authorization Act of 1996 (49 USC 106)	The Administrator is authorized to enter into and perform such contracts, leases, cooperative agreements, or other transactions.	Real Estate	P	G		
Federal Water Pollution Control Act (33 USC	Requires that all agencies comply with all Federal, State, interstate, and local requirements, respecting	Real Estate	P			

1251)	the control and abatement of water pollution.					
Federal Property and Administrative Services Act of 1949, as amended (40 USC 471)	This act establishes the Federal Building Fund and provides the Administrator of General Services Administration with an important source of real property related authority. FAA is not required to follow Title II of this act.	Real Estate	P	G		
Federal Water Pollution Control Act (33 USC 1251)	Requires that all agencies of the executive, legislative, and judicial branches of the Federal Government must comply with all Federal, State, interstate, and local requirements respecting the control and abatement of water pollution.	Real Estate	P			
Freedom of Information Act of 1986 (5 USC 552)	Regulates the release of public information; agency rules, opinions, orders, records, and proceedings.	All	P	G	C	
General Procurement Authority (49 USC 40110)	The Administrator may acquire services or, by condemnation or otherwise, and interest in property, and may dispose of an interest in property.	Real Estate	P	G		
General Facilities and Personnel Authority (49 USC 44502)	Provides general authority to the Administrator of the Federal Aviation Administration to acquire, establish, improve, operate, and maintain air navigation facilities; and provide facilities and personnel to regulate and protect air traffic.	Procurement Real Estate	P	G		
Gift and Bequests (49 USC 326)	Authorizes the Administrator to accept any conditional or unconditional gift or donation of money or property, real or personal, or of services for the FAA.	All		G		
National Earthquake Hazards Reduction Act of 1977 (P.L. 95-124), Amended 1990 (P.L. 101-614) (42 USC 7701 et seq.)	Requires Agencies to adopt standards for assessing and enhancing the seismic safety of buildings designed for, or constructed by, or leased by the Federal Government.	Real Estate	P			
Paperwork Reduction Act (44 U.S.C. 3501)	Requires Federal Agencies to become more responsible and publicly accountable for reducing the burden of Federal paperwork on the public, and for other purposes resulting from the collection of	All	P			

	information by or for the Federal Government.					
Public Buildings Act of 1959, as amended (40 USC 601-619)	This act establishes a prospectus threshold, applicable to all federal agencies. Also the <del>Admininistrator</del> <b>Administrator</b> of GSA has authority to construct, acquire, and alter public buildings.	Real Estate	P			
Public Buildings Cooperative Use Act of 1976 (40 USC 601a, 612a.)	Requires the Administrator of GSA to acquire and utilize space in suitable buildings of historic, architectural, or cultural significance.	Real Estate	P			
National Environmental Policy Act of 1969 (42 USC 4321)	Requires consideration of environmental factors in the decision-making process for major Federal actions.	Real Estate	P			
National Historic Preservation Act (16 USC 470)	Requires Federal agencies to take into account the effect of any Federal undertaking on any property in or eligible for listing in the National Register of Historic Places.	Real Estate	P			
Occupational Safety and Health Act of 1970, amended (29 USC 653)	Requires Federal agencies to provide safe and healthful places and conditions of employment.	Real Estate	P	G	C	
Quarters and facilities; employees in the United States (5 USC 5911)	Agency may provide quarters and facilities for employees when conditions warrant.	Real Estate	P			
Randolph-Sheppard Vending Facility Act, amended (20 U.S.C. 107 - 107f)	Provides for blind persons licensed under the provisions of this chapter authorization to operate vending facilities on any Federal property.	Procurement Real Estate	P P	G G		
Rehabilitation Act of 1973, amended (Pub. L. 93-112, 387 Stat. 355)	Requires Federal agencies to ensure compliance with standards set by GSA, DOD and HUD pursuant to the Architectural Barriers Act of 1968.	Real Estate	P	G		
Rural Development Act of 1972 (Pub. L. 92-419, 86 Stat. 657)	Provides for improving the economy and living conditions in rural America. FAA must give first consideration to rural areas when locating new space, land, and other facilities	Real Estate	P	G	C	
Stewart B. McKinney Homeless Assistance Act (42	Requires Federal agencies to make available surplus real property to homeless organizations.	Real Estate	P			

USC 11411-11412)						
Superfund Amendments and Reauthorization Act of 1986, amended (42 USC 9601-9675)	Extends and amends CERCLA.					*
Service, supplies, and facilities at remote places (49 USC 331)	Agency may provide when necessary, services, supplies, and facilities at remote places.	Real Estate	P			
Title 49, USC, Section 1159 (a) and (c)	Airport property and airway property in territory (including Alaska) outside the continental limits of the United States.	Real Estate	P			
Uniform Relocation Assistance and Real Property Acquisition (42 USC 4651-4655)	Requires Federal agencies to treat all property owners and other affected persons in a fair and equitable manner, and to provide relocation services and benefits to persons displaced by Federal <del>agency</del> <i>agency</i> 's acquisition of their real property.	Real Estate	P	G		

**Part IV B: Executive Orders**

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS: P=Policy, G=Guidance, C=Clause  *=See Office of Chief Counsel</b>			
Executive Order 11508, Providing for the Identification of Unneeded Federal Real Property (Feb. 12, 1970)	Establishes a uniform policy for Executive branch concerning the identification of excess real property holdings.	Real Estate	P			
Executive Order 11593, Protection and Enhancement of the Cultural Environment (May 13, 1971)	Requires Federal Agencies to direct their policies, plans and programs that federally owned sites, and structures are preserved, restored and maintained.	Real Estate	P			

Executive Order 11738, Providing for Administration of the Clean Air Act and the Federal Water Pollution Control Act with respects to Federal Contracts, Grants, or Loans (Sept. 12, 1973)	Requires Federal agencies having authority to enter into contracts to conduct its acquisitions that will result in effective enforcement of the Clean Air Act and the Federal Water Pollution Control Act.	Real Estate	P			
Executive Order 11988, Floodplain Management (May 24, 1977)	Requires that agencies take action to reduce the risk of flood loss and to restore and preserve the natural and beneficial values served by floodplains for acquiring, managing and disposing of Federal lands and facilities.	Real Estate	P			
Executive Order 11990, Protection of Wetlands (May 24, 1977)	Requires that agencies take action to minimize the destruction, loss or degradation of wetlands, and to preserve and enhance the natural and beneficial values of wetlands for acquiring, managing, and disposing of Federal lands and facilities.	Real Estate	P			
Executive Order 12003, Relating to Energy Policy and Conservation (July 20, 1977)	Requires buildings constructed for Government lease to meet certain energy consumption design specifications.	Real Estate	P			
Executive Order 12088, Federal Compliance with Pollution Control Standards (October 13, 1978)	Requires agencies ensure action is taken to prevent, control, and abate environmental pollution with respect to Federal facilities and activities. Revoked, in part, by EO 13423.	Real Estate	P			
Executive Order 12196, Occupational Safety and Health Programs	Requires Federal agencies to establish and maintain occupational safety and health programs for Federal employees.	Real Estate	P			
Executive Order 12512, Federal Real Property Management (April 29, 1985)	Authorizes the GSA administrator to provide Government wide policy oversight and guidance for Federal real property management.	Real Estate	P			
Executive Order 12699, Seismic Safety of Federal	Requires agencies responsible for the design and construction of each new Federal building and/or the	All	P			

and Federally Assisted or Regulated New Building Construction (January 5, 1990)	construction and lease of new buildings for Federal use to ensure the building is designed and constructed in accord with appropriate seismic design and construction standards.					
Executive Order 12941, Seismic Safety of Existing Federally Owned and Leased Buildings (December 1994)	Requires agencies to meet substantial life safety standards for seismic.	Real Estate	P			
Executive Order 13202, Preservation of Open Communication and Government Neutrality towards Government Contractors (Feb. 17, 2001)	Promotes the economical, non-discriminatory, and efficient administration and completion of Federal and Federally funded or assisted construction projects. (Also see E.O. 13208)	Procurement Real Estate				*
Executive Order 13208, Assisted Construction Projects (April 6, 2001)	Amends E.O. 13202. Added a new section to permit the Head of an Executive Agency to exempt a particular project from the requirements of any or all provisions of Sections 1 and 3 of E.O. 13202. (Also see E.O. 13202)	Procurement Real Estate				*
Executive Order 13327, Federal Real Property Asset Management (Feb. 4, 2004)	To improve the overall management of Federal real property assets on a Government-wide level. Amended by E.O. 13423.	Real Estate	P			
Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management (January 24, 2007)	Revokes E.O. 13101, 13123, 13134, 13148, and 13149, and amends E.O. 12088 and 13327. Provides that (i) new construction and major renovation of agency buildings; and (ii) 15 percent of the existing Federal capital asset building inventory of Federal agencies move towards sustainable environmental practices. Note: Related and previously revoked Executive Orders include: 11507,11752, 12856, 12873, and 12902.	All	P	G		

**Part IV C: Regulations/Standards**

<b>Title</b>	<b>Description Summary</b>	<b>Functional area affected</b>	<b>Promulgated by AMS:</b>  <b>P=Policy, G=Guidance, C=Clause</b>  <b>*=See Office of Chief Counsel</b>			
Department of Transportation Policy for Seismic Safety of New and Existing DOT Owned or Leased Buildings (DOT SS-98-01)	Requires each DOT Operating Administration to ensure that new DOT owned buildings and additions and new buildings leased for DOT occupancy, are designed and constructed to comply with appropriate seismic design and construction standards. Additionally, each Operating Administration is required to mitigate unacceptable earthquake risks in existing buildings via a long-term risk mitigation program.	All	P			
Federal Management Regulations (formerly Federal Property Management)	Prescribes regulations, policies, procedures and delegations of authority pertaining to the management of property, inventory, and disposal when FAA leases real property through GSA. Serves as guidelines for FAA direct lease actions.	Real Estate	P	G		
FEMA 74, Reducing the Risk of Nonstructural Earthquake Damage, (Sep. 1994)	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for equipment and other building system installation, risk mitigation and guidance on prioritizing projects.	All	P			
FEMA 310, Handbook for the Seismic Evaluation of Buildings: A Pre-Standard, (January 1998)	Provides requirements for identification of unacceptable seismic risks in existing buildings and equipment installations.	All	P			
FEMA 356, NEHRP. Pre-Standard and Commentary for the Seismic Rehabilitation of Buildings,	Provides requirements for mitigation of unacceptable seismic risks in existing buildings and equipment installations.	All	P			

(November 2000)						
FEMA 368/369, 2000 NEHRP Provision for Seismic Regulations for New Buildings and Other Structures, Parts 1 and 2, 2001.	Provides Interagency Committee for Seismic Safety in Construction (ICSSC) requirements for the construction of new buildings as well as design and installation of new equipment for installation in any new or existing building.	All	P			
International Building Code (IBC) (2000/2003)	Establishes the current international building code in effect for all new construction of Federal buildings.	All	P			
Local Seismic Building codes (depends on location of project or installation site)	Requires use of local seismic building codes if they require a greater margin of safety than international or national building codes.	All	P			
NIST RP-6, standards for Seismic Safety for Existing Federally Owned or Leased Buildings, (January 2002)	Provides requirements for leasing and acquisition of existing buildings.	All	P			
Occupational Safety and Health Administration Regulations (29 CFR 1910.38)	Requires a written plan for emergency situations for each workplace where there is a possibility of an emergency. Appropriate portions of the plan shall be implemented in the event of an emergency.	All	P	G	C	
Protests and Contract Disputes; 14 CFR, Parts 14 & 17.	Prescribes procedures for protests and contract disputes.	All	P		C	
Standards of Conduct for Employees of the Executive Branch (5 CFR 2635)	Prohibits conflicts of interest	All	P	G	C	
Uniform Federal Accessibility Standards (UFAS) (41 CFR 101-19.6 App. A)	Prescribes handicapped accessibility regulations for Federally owned or leased building premises.	Real Estate	P	G	C	

**End of Part IV**

**Section 4.16.1 : Appendix E: Part I - Statutes**

**Old Content: Acquisition Management Policy:**

**Section 4.16.1 : Appendix E: Part I - Statutes**

Title	Description Summary	Functional area affected	Promulgated by AMS:			
			P=Policy,	G=Guidance,	C=Clause	*=See Office of Chief Counsel
Administrative Procedures Act (5 USC 500 et seq)	Authorizes a duly qualified individual to represent a person before an agency.	All				*
Agreement on civil aircraft (19 USC 2513)	Exempts civil aircraft from Buy American Act.	Procurement				*
Air Commerce and Safety (49 USC 40121(c) (2))	Establishes legal authority for joint activities between DoD and the FAA to improve or replenish the national air traffic control system.	Procurement		G		
Airport Improvement (AIP) Grants (49 USC 47101)	Establishes U.S. Policy for Airport development and improvement.	Agreements		G		
Air Transportation Security, (49 USC 44903)	Authorizes the Administrator to prescribe regulations to protect passengers and property on an aircraft operating in air transportation or intrastate air transportation against an act of criminal violence or aircraft piracy.	Procurement		G		
Anti-Deficiency Act (31 USC 1341)	Prohibits expenditure in excess of funds available	Procurement	P	G	C	
Anti-Kickback Act (41 USC 51-58)	Prohibits offering or accepting kickbacks; criminal penalties apply.	Ethics Procurement Real Estate			C	*
Anti-Lobbying Act (31 USC 1352)	Prohibits use of Federal funds for lobbying	Procurement				*
Assistance to Foreign Aviation Authorities (49 USC 40113(e))	Authorizes the Administrator to provide safety-related training and operational services to foreign aviation authorities with or without reimbursement, if the Administrator determines that providing such services promotes aviation safety.	Procurement		G		
Authority to Transfer an Interest in Surplus Property (49 USC 47151)	Authorizes a department, agency, or instrumentality of the executive branch of the United States Government or a wholly owned Government corporation to give a State,	Procurement		G		

	political subdivision of a State, or tax-supported organization any interest in property subject to sections 47152, Terms of Gifts and 47153, Waiving and Adding Terms, of this title.					
Bayh-Dole Act ( 35 USC 200)	Provides policy regarding inventions made with Government Assistance	Procurement				*
Bona fide Fiscal year need statutes (31 USC 1301)	Requires appropriations to be applied only to the objects for which the appropriations were made except as otherwise provided by law.	Budget Procurement			C	*
Bribery and Conflict of Interest Laws (18 USC 201)	Prescribes fines and punishment for bribery of public officials and witnesses.	All				*
Bribery and Conflict of Interest Laws (18 USC 208)	Prescribes acts and penalties affecting a personal financial interest.	All	P			
Buy American Act (41 USC 10)	Requires American manufactured materials and supplies for public use. (Also see Executive Order 10582)	Procurement	P	G	C	
Buy American (FAA) (49 USC 50101)	Mandates a preference for raw and manufactured American materials.	Procurement			C	*
Cargo Preference Act (46 USC 1241)	Mandates preference for shipping cargo on U.S. ships.	Procurement			C	
Caribbean Basin Economic Recovery Act (19 USC 2701)	Exempts certain Caribbean countries from Buy American provisions of 19 USC 2701.	Procurement		G		
Clean Air Act (42 USC 7401 et seq)	Encourages or otherwise promotes reasonable Federal, State, and local governmental actions, consistent with the provisions of this chapter, for pollution prevention.	Procurement Environment	P	G	C	
Clean Water Act (33 USC 1251 et seq)	Restores and maintains the chemical, physical, and biological integrity of the Nation's waters.	Procurement Environment	P	G	C	
Common Carrier Liability (49 USC 11707)	Specifies liability when property is delivered in violation of routing instructions.	Procurement				*
Contract Work Hours and Safety Standards Act (40 USC 328)	Establishes a standard workday of 8 hours and a standard workweek of 40 hours for laborers and mechanics; with compensation of not less than one and one-half times the basic rate of pay for work in excess of the standard workweek.	Procurement	P	G	C	
Convict Labor Act (18 USC 23-436)	Prohibits convicts from performing government contracts. (Also see Executive Orders 11755 and 12943)	Procurement	P	G		
Cooperative Research and Development Agreements (15 USC 3710a)	Supports the full use of the results of the Nation's Federal investment in research and development. To this end the Federal Government shall strive where appropriate to transfer federally owned or originated technology to State and local governments and to the private sector.	Agreements		G		
Copeland Act (18	Makes it unlawful to induce any person,	Procurement	P	G	C	

USC 874 and 40 USC 276c) a.k.a. Anti-Kickback Act	employed in the construction or repair of public buildings or public works financed in whole or in part by the U.S., to give up any part of the compensation to which they are entitled.					
Davis Bacon Act (40 USC 276a)	Requires construction contractors to pay prevailing wages for laborers and mechanics.	Procurement	P	G	C	
Department of Transportation, General Duties and Powers (49 USC 322(c))	Provides general authority for FAA to enter into reimbursable agreements with other agencies and for cooperative agreements to use the services, records, and facilities of State, territorial, municipal and other agencies. However, 49 USC 106 (l) and (m) provides broader authority and should be cited in place of Section 322(c) for FAA agreements.	Agreements		G		
Disclosure of Confidential Information (18 USC 1905)	Prohibits the disclosure of confidential information by public officials (i.e. trade secrets)	Ethics Procurement	P	G		
Drug Free Workplace (41 USC 10)	Prohibits award of contracts to entities who have not certified that it is a drug free workplace. AMS does not reference 41 USC 10. However it is the FAA policy to only award contracts to entities who have certified that it is a drug free workplace.	Procurement	P	G	C	
Economy Act (31 USC 1535)	Authorizes the head of an agency or major organizational unit within to place an order with a major organizational unit within the same agency or another agency for goods or services under conditions specified in the statute.	Procurement		G		
Energy Policy and Conservation Act (42 USC 6361(a)(1))	Requires agencies to develop mandatory standards with respect to energy conservation and energy efficiency to govern the procurement policies and decisions of the Federal Government and all Federal agencies and to cause such standards to be implemented.	Procurement Environment	P	G		
Explosive Detection (49 USC 44913)	Governs the deployment and purchase of explosive detection equipment under 14 USC 108.7(b)(8) or 108.20 when the Administrator of the Federal Aviation Administration certifies that the equipment alone, or as part of an integrated system, can detect under realistic air carrier operating conditions the amounts, configurations, and types of explosive material that would likely be used to cause catastrophic damage to commercial aircraft.	Procurement		G		
False Claims Act (31 USC 3729)	Specifies civil penalties for false claims against the U.S.	All		G		*
Fastener Quality Act - June 8, 1999 (15 U.S.C. 5402)	Requires fasteners (i.e. bolts, nuts, screws) to be manufactured in accordance with a fastener quality assurance system; or manufactured to a proprietary standard, such as ISO 9000,	Procurement	P			

	QS9000, VDA6.1, or AS9000.					
Federal Aviation Administration (49 USC 106)	Authorizes the Administrator to enter into and perform such contracts, leases, cooperative agreements, or other transactions as may be necessary to carry out the functions of the Administrator and the Administration.	Procurement	P	G		
Federal Claims Collection (31 USC 3711)	Establishes provisions for collecting claims of the U.S. for money or property arising out of the activities of, or referred to the agency.	Procurement				*
Federal Excise Taxes (26 USC 4041)	Imposes tax on diesel fuel in certain cases.	Procurement	P	G		
Federal Facilities Compliance Act	Mixed Waste is regulated as hazardous and radioactive waste under the Resource Conservation and Recovery Act (RCRA) and the Atomic Energy Act (AEA), respectively.	Environment				*
Federal Prison Industries (18 USC 4121)	Prescribes requirement for purchases from Federal Prison facilities.	Procurement	P	G	C	
Federal Workforce Restructuring Act of 1994 - P.L. 103-226 (5 USC 5597)	To provide temporary authority to Government agencies relating to voluntary separation, incentive payments, and for other purposes and limitation on procurement of Service Contracts with involuntarily separated employees.	Procurement	P	G	C	
Freedom of Information Act of 1986 (5 USC 552)	Regulates the release of public information; agency rules, opinions, orders, records, and proceedings.	All		G		*
General Facilities and Personnel Authority(49 USC 44502)	Provides general authority to the Administrator of the Federal Aviation Administration to acquire, establish, improve, operate, and maintain air navigation facilities; and provide facilities and personnel to regulate and protect air traffic.	Procurement Real Estate	P	G		
Gift and Bequests (49 USC 326)	Authorizes the Administrator to accept any conditional or unconditional gift or donation of money or property, real or personal, or of services for the FAA	All		G		
Government Performance and Results Act of 1993 (31 USC 1101, 1115-1119)	Requires performance indicators and measurement.	Metrics Baseline Management	P			
Indian Incentive Program (25 USC 1544)	A contractor of a Federal agency under any Act of Congress may be allowed an additional amount of compensation equal to 5 percent of the amount paid, or to be paid, to a subcontractor or supplier, in carrying out the contract if such subcontractor or supplier is an Indian organization or Indian-owned economic enterprise as defined in this chapter.	Procurement	P	G	C	
Interest of Member of Congress (41 USC 22)	Prohibits member of or delegate to Congress from sharing in benefit from contract or grant	Procurement			C	*

International Airport Facilities, Administrative (49 USC 47305)	Authorizes the Secretary of Transportation to consolidate, operate, protect, maintain, and improve airport property and airway property (except meteorological facilities).	Procurement		G		
International Airport Facilities, Definitions (49 USC 47301)	Provides definitions pertaining to International Airport Facilities.	Procurement		G		
International Air Transportation Fair Competitive Practices Act of 1974 (49 USC 40118 (5))	Requires that all Federal agencies and Government contractors and subcontractors use U.S.-flag air carriers for U.S. Government-financed international air transportation of personnel (and their personal effects) or property, to the extent that service by those carriers is available. (Also known as the Fly America Act)	Procurement			C	
Javitts-Wagner-O'Day Act (41 USC 46)	Established the Committee for Purchase of Products and Services of the Blind and Other Severely Handicapped;	Procurement	P	G		
Judicial Review (49 USC 46110)	Prescribes judicial review process for a person disclosing a substantial interest in an order issued by the Secretary of Transportation (or the Administrator of the Federal Aviation Administration with respect to aviation safety duties and powers designated to be carried out by the Administrator) under this part.	Procurement	P		C	
Miller Act (40 USC 270a-270f)	Requires construction contractors to provide performance and payment bonds that are greater than \$25,000 but not greater than \$100,000.	Procurement	P	G	C	
National Earthquake Hazards Reduction Act of 1977 (P.L. 95-124), Amended 1990 (P.L. 101-614) (42 USC 7701 et seq.)	Requires Agencies to adopt standards for assessing and enhancing the seismic safety of buildings designed for, or constructed by, or leased by the Federal Government.	All	P			
North American Free Trade Agreement (NAFTA) P.L. 103-182 (19 USC 3311)	Canada/Mexico exception from Buy American Act if purchase is over \$25,000.	Procurement			C	
National Energy Conservation Policy Act (42 USC 6201)	Requires energy and water conservation measures for federal buildings, facilities, or space	Environment	P			
National Environmental Policy Act (42 USC 6201)	Requires environmental assessment or environmental impact statement for proposed federal actions	Environment	P	G		
Paperwork Reduction Act (44 U.S.C. 3501)	Requires Federal Agencies to become more responsible and publicly accountable for reducing the burden of Federal paperwork on the public, and for other purposes resulting from the collection of information by or for the Federal Government.	All	P			

Privacy Act (5 USC 552a)	Establishes procedures for records maintained on individuals to ensure that certain information is secured.	Ethics Procurement	P	G	C	
Procurement Integrity Act (41 USC 423)	Prohibits unauthorized release of source selection or other proprietary data	Procurement	P	G	C	
Project Grant Authority (49 USC 47104)	Authorizes the Secretary of Transportation to make project grants from the Airport and Airway Trust Fund to maintain a safe and efficient nationwide system of public-use airports that meets the present and future needs of civil aeronautics.	Procurement		G		
Public Law 85-804 (50 U.S.C. 1431-1434)	Empowers the President to authorize agencies exercising functions in connection with the national defense to enter into, amend, and modify contracts, without regard to other provisions of law related to making, performing, amending, or modifying contracts, whenever the President considers that such action would facilitate the national defense, to exercise the authority conferred by the Act and to delegate it to other officials within the agency. (Also see E.O. 10789)	Procurement	P	G	C	
Randolph-Sheppard Vending Facility Act(20 U.S.C. 107)	Provides for blind persons licensed under the provisions of this chapter authorization to operate vending facilities on any Federal property.	Procurement	P	G		
Rehabilitation Act of 1973 - Section 508 (29 USC 794d)	Requires information technology purchases to be accessible to people with disabilities	Procurement	P	G	C	
Rehabilitation Act (29 USC 793)	Requires affirmative action to employ and advance in employment qualified individuals with disabilities.	Procurement	P	G		*
Resource Conservation and Recovery Act (42 USC 6901)	Prescribes policies and procedures for acquiring Environmental Protection Agency(EPA)-designated products through affirmative procurement programs.	Procurement Environment	P	G	C	
Service Contract Act(41 USC 351-357)	Provides for minimum wages and fringe benefits as well as other conditions of work under certain types of service contracts. Whether or not the Act applies to a specific service contract will be determined by the definitions and exceptions given in the Act, or implementing regulations.	Procurement	P	G	C	
Service-Disabled Veteran Owned Small Business Program (13 CFR,121,125&134)	Provides for competitive and non-competitive set-asides for Service Disabled Veteran Owned Small Businesses.	Procurement	P	G	C	
Systems, Procedures, Facilities, and Devices (49 USC 44505)	Requires the Administrator of the Federal Aviation Administration to develop, alter, test, and evaluate systems, procedures, facilities, and devices, and define their performance	Procurement		G		

	characteristics, to meet the needs for safe and efficient navigation and traffic control of civil and military aviation, except for needs of the armed forces; and to select systems, procedures, facilities, and devices that will best serve those needs and promote maximum coordination of air traffic control and air defense systems.					
Research and Development (49 USC 44912)	Requires the Administrator of the Federal Aviation Administration to establish and carry out a program to accelerate and expand the research, development, and implementation of technologies and procedures to counteract terrorist acts against civil aviation.	Procurement		G		
Terms of Gifts (49 USC 47152)	Specifies the terms applicable to a gift of an interest in surplus property.	Procurement		G		
Training Schools (49 USC 40108)	Authorizes the Administrator of the Federal Aviation Administration to operate schools to train officers and employees of the Administration to carry out duties, powers, and activities of the Administrator.	Procurement		G		
Vietnam Era Veterans Readjustment Act (38 USC 2012)	Requires contractors and subcontractors, when entering contracts subject to the Act, to list all suitable employment openings with the appropriate local employment service office and take affirmative action to employ, and advance in employment, qualified special disabled veterans and veterans of the Vietnam Era without discrimination based on their disability or Veteran's status. (Also see Executive Order 11701)	Procurement		G		*
Waiving and Adding Terms (49 USC 47153)	Authorizes the Secretary of Transportation to waive, without charge, a term of a gift of an interest in property under this subchapter.	Procurement		G		
Walsh Healey Public Contracts Act (41 U.S.C. 35)	Provides conditions for the purchase of supplies and the making of contracts by the United States, and for other purposes.	Procurement	P	G		
Wendell H. Ford Aviation Investment & Reform Act (A.O. 106-181, Apr 5, 2000)	Subjects the FAA to the Procurement Integrity Act (41USC 423), except that Subsections (f), Definitions, and (g), Limitation on Protests, shall not apply.	Procurement		G		

**END OF PART I**

**New Content: Acquisition Management Policy:  
Section 4.16.1 : Program Requirements**

Development, modernization, and enhancement programs must use an EVM system based on the guidelines in American National Standard ANSI/EIA-748, Earned Value Management Systems, for the total program effort, including both government and contractor work, according to the following table. Program EVM must be consistent with the acquisition strategy in the

implementation strategy and planning document, section 3.2, Program Control. Major investment programs are those required by the Office of Management and Budget to submit an OMB Exhibit 300. The Joint Resources Council or appropriate investment decision authority designates non-major programs required to have an EVMS.

### FAA Program EVMS Requirements

	Program Type	Program Type	Program Type
EVMS Requirements	Major	Non-Major	Other
Exhibit 300	R	T	O
Integrated Master Schedule	R	T	O
Integrated Baseline Review	R	T	O
EVM Standard Compliance	R	R	O
EVM System Certification	R	O	O

*R = Required by approving authority*

*T = Tailored: requirement may be tailored by program*

*O = Optional* **Red Line Content: Acquisition Management Policy:**

#### Section 4.16.1 : Appendix Program E: Part I—Statutes Requirements

Title	Description Summary	Functional area affected	Promulgated by AMS:			
			P=Policy,	G=Guidance,	C=Clause	
Administrative Procedures Act (5 USC 500 et seq)	Authorizes a duly qualified individual to represent a person before an agency.	All				*
Agreement on civil aircraft (19 USC 2513)	Exempts civil aircraft from Buy American Act.	Procurement				*
Air Commerce and Safety (49 USC 40121(c) (2))	Establishes legal authority for joint activities between DoD and the FAA to improve or replenish the national air traffic control system.	Procurement		G		
Airport Improvement (AIP) Grants (49 USC 47101)	Establishes U.S. Policy for Airport development and improvement.	Agreements		G		
Air Transportation Security, (49 USC 44903)	Authorizes the Administrator to prescribe regulations to protect passengers and property on an aircraft operating in air transportation or intrastate air transportation against an act of criminal violence or aircraft piracy.	Procurement		G		
Anti-Deficiency Act (31 USC 1341)	Prohibits expenditure in excess of funds available	Procurement	P	G	C	

Anti-Kickback Act (41 USC 51-58)	Prohibits offering or accepting kickbacks; criminal penalties apply.	Ethics Procurement Real Estate			C	*
Anti-Lobbying Act (31 USC 1352)	Prohibits use of Federal funds for lobbying	Procurement				*
Assistance to Foreign Aviation Authorities (49 USC 40113(e))	Authorizes the Administrator to provide safety-related training and operational services to foreign aviation authorities with or without reimbursement, if the Administrator determines that providing such services promotes aviation safety.	Procurement		G		
Authority to Transfer an Interest in Surplus Property (49 USC 47151)	Authorizes a department, agency, or instrumentality of the executive branch of the United States Government or a wholly owned Government corporation to give a State, political subdivision of a State, or tax-supported organization any interest in property subject to sections 47152, Terms of Gifts and 47153, Waiving and Adding Terms, of this title.	Procurement		G		
Bayh-Dole Act ( 35 USC 200)	Provides policy regarding inventions made with Government Assistance	Procurement				*
Bona fide Fiscal year need statutes (31 USC 1301)	Requires appropriations to be applied only to the objects for which the appropriations were made except as otherwise provided by law.	Budget Procurement			C	*
Bribery and Conflict of Interest Laws (18 USC 201)	Prescribes fines and punishment for bribery of public officials and witnesses.	All				*
Bribery and Conflict of Interest Laws (18 USC 208)	Prescribes acts and penalties affecting a personal financial interest.	All	P			
Buy American Act (41 USC 10)	Requires American manufactured materials and supplies for public use. (Also see Executive Order 10582)	Procurement	P	G	C	
Buy American (FAA) (49 USC 50101)	Mandates a preference for raw and manufactured American materials.	Procurement			C	*
Cargo Preference Act (46 USC 1241)	Mandates preference for shipping cargo on U.S. ships.	Procurement			C	
Caribbean Basin Economic Recovery Act (19 USC 2701)	Exempts certain Caribbean countries from Buy American provisions of 19 USC 2701.	Procurement		G		
Clean Air Act (42 USC 7401 et seq)	Encourages or otherwise promotes reasonable Federal, State, and local governmental actions, consistent with the provisions of this chapter, for pollution prevention.	Procurement Environment	P	G	C	
Clean Water Act (33 USC 1251 et seq)	Restores and maintains the chemical, physical, and biological integrity of the Nation's waters.	Procurement Environment	P	G	C	
Common Carrier Liability (49 USC	Specifies liability when property is delivered in violation of routing instructions.	Procurement				*

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Contract Work Hours and Safety Standards Act (40 USC 328)	Establishes a standard workday of 8 hours and a standard workweek of 40 hours for laborers and mechanics; with compensation of not less than one and one-half times the basic rate of pay for work in excess of the standard workweek.	Procurement	P	G	C	
Convict Labor Act (18 USC 23-436)	Prohibits convicts from performing government contracts. (Also see Executive Orders 11755 and 12943)	Procurement	P	G		
Cooperative Research and Development Agreements (15 USC 3710a)	Supports the full use of the results of the Nation's Federal investment in research and development. To this end the Federal Government shall strive where appropriate to transfer federally owned or originated technology to State and local governments and to the private sector.	Agreements		G		
Copeland Act (18 USC 874 and 40 USC 276c) a.k.a. Anti-Kickback Act	Makes it unlawful to induce any person, employed in the construction or repair of public buildings or public works financed in whole or in part by the U.S., to give up any part of the compensation to which they are entitled.	Procurement	P	G	C	
Davis Bacon Act (40 USC 276a)	Requires construction contractors to pay prevailing wages for laborers and mechanics.	Procurement	P	G	C	
Department of Transportation, General Duties and Powers (49 USC 322(c))	Provides general authority for FAA to enter into reimbursable agreements with other agencies and for cooperative agreements to use the services, records, and facilities of State, territorial, municipal and other agencies. However, 49 USC 106 (l) and (m) provides broader authority and should be cited in place of Section 322(c) for FAA agreements.	Agreements		G		
Disclosure of Confidential Information (18 USC 1905)	Prohibits the disclosure of confidential information by public officials (i.e. trade secrets)	Ethics Procurement	P	G		
Drug Free Workplace (41 USC 10)	Prohibits award of contracts to entities who have not certified that it is a drug free workplace. AMS does not reference 41 USC 10. However it is the FAA policy to only award contracts to entities who have certified that it is a drug free workplace.	Procurement	P	G	C	
Economy Act (31 USC 1535)	Authorizes the head of an agency or major organizational unit within to place an order with a major organizational unit within the same agency or another agency for goods or services under conditions specified in the statute.	Procurement		G		
Energy Policy and Conservation Act (42 USC 6361(a)(1))	Requires agencies to develop mandatory standards with respect to energy conservation and energy efficiency to govern the procurement policies and decisions of the Federal Government and all Federal agencies	Procurement Environment	P	G		

	and to cause such standards to be implemented.					
Explosive Detection (49 USC 44913)	Governs the deployment and purchase of explosive detection equipment under 14 USC 108.7(b)(8) or 108.20 when the Administrator of the Federal Aviation Administration certifies that the equipment alone, or as part of an integrated system, can detect under realistic air carrier operating conditions the amounts, configurations, and types of explosive material that would likely be used to cause catastrophic damage to commercial aircraft.	Procurement		G		
False Claims Act (31 USC 3729)	Specifies civil penalties for false claims against the U.S.	All		G		*
Fastener Quality Act - June 8, 1999 (15 U.S.C. 5402)	Requires fasteners (i.e. bolts, nuts, screws) to be manufactured in accordance with a fastener quality assurance system; or manufactured to a proprietary standard, such as ISO 9000, QS9000, VDA6.1, or AS9000.	Procurement	P			
Federal Aviation Administration (49 USC 106)	Authorizes the Administrator to enter into and perform such contracts, leases, cooperative agreements, or other transactions as may be necessary to carry out the functions of the Administrator and the Administration.	Procurement	P	G		
Federal Claims Collection (31 USC 3711)	Establishes provisions for collecting claims of the U.S. for money or property arising out of the activities of, or referred to the agency.	Procurement				*
Federal Excise Taxes (26 USC 4041)	Imposes tax on diesel fuel in certain cases.	Procurement	P	G		
Federal Facilities Compliance Act	Mixed Waste is regulated as hazardous and radioactive waste under the Resource Conservation and Recovery Act (RCRA) and the Atomic Energy Act (AEA), respectively.	Environment				*
Federal Prison Industries (18 USC 4121)	Prescribes requirement for purchases from Federal Prison facilities.	Procurement	P	G	C	
Federal Workforce Restructuring Act of 1994 - P.L. 103-226 (5 USC 5597)	To provide temporary authority to Government agencies relating to voluntary separation, incentive payments, and for other purposes and limitation on procurement of Service Contracts with involuntarily separated employees.	Procurement	P	G	C	
Freedom of Information Act of 1986 (5 USC 552)	Regulates the release of public information; agency rules, opinions, orders, records, and proceedings.	All		G		*
General Facilities and Personnel Authority(49 USC 44502)	Provides general authority to the Administrator of the Federal Aviation Administration to acquire, establish, improve, operate, and maintain air navigation facilities; and provide facilities and personnel to regulate and protect air traffic.	Procurement Real Estate	P	G		
Gift and Bequests (49 USC 326)	Authorizes the Administrator to accept any conditional or unconditional gift or donation of money or property, real or personal, or of	All		G		

	services for the FAA					
Government Performance and Results Act of 1993 (31 USC 1101, 1115-1119)	Requires performance indicators and measurement.	Metrics Baseline Management	P			
Indian Incentive Program (25 USC 1544)	A contractor of a Federal agency under any Act of Congress may be allowed an additional amount of compensation equal to 5 percent of the amount paid, or to be paid, to a subcontractor or supplier, in carrying out the contract if such subcontractor or supplier is an Indian organization or Indian-owned economic enterprise as defined in this chapter.	Procurement	P	G	C	
Interest of Member of Congress (41 USC 22)	Prohibits member of or delegate to Congress from sharing in benefit from contract or grant	Procurement			C	*
International Airport Facilities, Administrative (49 USC 47305)	Authorizes the Secretary of Transportation to consolidate, operate, protect, maintain, and improve airport property and airway property (except meteorological facilities).	Procurement		G		
International Airport Facilities, Definitions (49 USC 47301)	Provides definitions pertaining to International Airport Facilities.	Procurement		G		
International Air Transportation Fair Competitive Practices Act of 1974 (49 USC 40118 (5))	Requires that all Federal agencies and Government contractors and subcontractors use U.S.-flag air carriers for U.S. Government-financed international air transportation of personnel (and their personal effects) or property, to the extent that service by those carriers is available. (Also known as the Fly America Act)	Procurement			C	
Javitts-Wagner-O'Day <del>Act</del> (41 USC 46)	Established the Committee for Purchase of Products and Services of the Blind and Other Severely Handicapped;	Procurement	P	G		
Judicial Review (49 USC 46110)	Prescribes judicial review process for a person disclosing a substantial interest in an order issued by the Secretary of Transportation (or the Administrator of the Federal Aviation Administration with respect to aviation safety duties and powers designated to be carried out by the Administrator) under this part.	Procurement	P		C	
Miller Act (40 USC 270a-270f)	Requires construction contractors to provide performance and payment bonds that are greater than \$25,000 but not greater than \$100,000.	Procurement	P	G	C	
National Earthquake Hazards Reduction Act of 1977 (P.L. 95-124), Amended 1990 (P.L. 101-614) (42 USC 7701 et seq.)	Requires Agencies to adopt standards for assessing and enhancing the seismic safety of buildings designed for, or constructed by, or leased by the Federal Government.	All	P			
North American Free	Canada/Mexico exception from Buy	Procurement			C	

Trade Agreement (NAFTA) P.L. 103-182 (19 USC 3311)	American Act if purchase is over \$25,000.					
National Energy Conservation Policy Act (42 USC 6201)	Requires energy and water conservation measures for federal buildings, facilities, or space	Environment	P			
National Environmental Policy Act (42 USC 6201)	Requires environmental assessment or environmental impact statement for proposed federal actions	Environment	P	G		
Paperwork Reduction Act (44 U.S.C. 3501)	Requires Federal Agencies to become more responsible and publicly accountable for reducing the burden of Federal paperwork on the public, and for other purposes resulting from the collection of information by or for the Federal Government.	All	P			
Privacy Act (5 USC 552a)	Establishes procedures for records maintained on individuals to ensure that certain information is secured.	Ethics Procurement	P	G	C	
Procurement Integrity Act (41 USC 423)	Prohibits unauthorized release of source selection or other proprietary data	Procurement	P	G	C	
Project Grant Authority (49 USC 47104)	Authorizes the Secretary of Transportation to make project grants from the Airport and Airway Trust Fund to maintain a safe and efficient nationwide system of public-use airports that meets the present and future needs of civil aeronautics.	Procurement		G		
Public Law 85-804 (50 U.S.C. 1431-1434)	Empowers the President to authorize agencies exercising functions in connection with the national defense to enter into, amend, and modify contracts, without regard to other provisions of law related to making, performing, amending, or modifying contracts, whenever the President considers that such action would facilitate the national defense, to exercise the authority conferred by the Act and to delegate it to other officials within the agency. (Also see E.O. 10789)	Procurement	P	G	C	
Randolph-Sheppard Vending Facility Act(20 U.S.C. 107)	Provides for blind persons licensed under the provisions of this chapter authorization to operate vending facilities on any Federal property.	Procurement	P	G		
Rehabilitation Act of 1973 - Section 508 (29 USC 794d)	Requires information technology purchases to be accessible to people with disabilities	Procurement	P	G	C	
Rehabilitation Act (29 USC 793)	Requires affirmative action to employ and advance in employment qualified individuals with disabilities.	Procurement	P	G		*
Resource Conservation and Recovery Act (42 USC 6901)	Prescribes policies and procedures for acquiring Environmental Protection Agency(EPA)-designated products through affirmative procurement programs.	Procurement Environment	P	G	C	
Service Contract	Provides for minimum wages and fringe	Procurement	P	G	C	

Act(41 USC 351-357)	benefits as well as other conditions of work under certain types of service contracts. Whether or not the Act applies to a specific service contract will be determined by the definitions and exceptions given in the Act, or implementing regulations.					
Service-Disabled Veteran Owned Small Business Program (13 CFR,121,125&134)	Provides for competitive and non-competitive set-asides for Service Disabled Veteran Owned Small Businesses.	Procurement	P	G	C	
Systems, Procedures, Facilities, and Devices (49 USC 44505)	Requires the Administrator of the Federal Aviation Administration to develop, alter, test, and evaluate systems, procedures, facilities, and devices, and define their performance characteristics, to meet the needs for safe and efficient navigation and traffic control of civil and military aviation, except for needs of the armed forces; and to select systems, procedures, facilities, and devices that will best serve those needs and promote maximum coordination of air traffic control and air defense systems.	Procurement		G		
Research and Development (49 USC 44912)	Requires the Administrator of the Federal Aviation Administration to establish and carry out a program to accelerate and expand the research, development, and implementation of technologies and procedures to counteract terrorist acts against civil aviation.	Procurement		G		
Terms of Gifts (49 USC 47152)	Specifies the terms applicable to a gift of an interest in surplus property.	Procurement		G		
Training Schools (49 USC 40108)	Authorizes the Administrator of the Federal Aviation Administration to operate schools to train officers and employees of the Administration to carry out duties, powers, and activities of the Administrator.	Procurement		G		
Vietnam Era Veterans Readjustment Act (38 USC 2012)	Requires contractors and subcontractors, when entering contracts subject to the Act, to list all suitable employment openings with the appropriate local employment service office and take affirmative action to employ, and advance in employment, qualified special disabled veterans and veterans of the Vietnam Era without discrimination based on their disability or Veteran's status. (Also see Executive Order 11701)	Procurement		G		*
Waiving and Adding Terms (49 USC 47153)	Authorizes the Secretary of Transportation to waive, without charge, a term of a gift of an interest in property under this subchapter.	Procurement		G		
Walsh Healey Public Contracts Act (41 U.S.C. 35)	Provides conditions for the purchase of supplies and the making of contracts by the United States, and for other purposes.	Procurement	P	G		
Wendell H. Ford Aviation Investment	Subjects the FAA to the Procurement Integrity Act (41USC 423), except that Subsections (f),	Procurement		G		

& Reform Act (A.O. 106-181, Apr 5, 2000)	Definitions, and (g), Limitation on Protests, shall not apply.					
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**END OF PART I**

**Section 4.16.2 : Appendix D: Acronyms**

**Old Content:** Acquisition Management Policy:

**Section 4.16.2 : Appendix D: Acronyms**

<b>ADR</b>	Alternative Dispute Resolution
<b>AEB</b>	Acquisition Executive Board
<b>AIP</b>	Airport Improvement Program
<b>AMS</b>	Acquisition Management System
<b>AOPC</b>	Agency/Organization Program Coordinator
<b>AP</b>	Approving Official
<b>ASAG</b>	Acquisition System Advisory Group
<b>BCAR</b>	Business Case Analysis Report
<b>CAS</b>	Cost Accounting Standards
<b>CAS</b>	Commercially Available Software (2 <sup>nd</sup> definition for this acronym)
<b>CCB</b>	Configuration Control Board
<b>CCD</b>	Configuration Control Decision
<b>CIB</b>	Card Issuing Bank
<b>CIP</b>	Capital Investment Plan
<b>CIT</b>	Capital Investment Team
<b>CM</b>	Configuration Management
<b>CO</b>	Contracting Officer
<b>COCO</b>	Chief of the Contracting Office
<b>COI</b>	Critical Operational Issue
<b>COTS</b>	Commercial Off The Shelf
<b>CPIC</b>	Capital Planning and Investment Control
<b>DPA</b>	Delegation of Procurement Authority
<b>DOT</b>	Department of Transportation
<b>DRO</b>	Dispute Resolution Officer
<b>EA</b>	Enterprise Architecture
<b>EIS</b>	Environmental Impact Statement
<b>EVM</b>	Earned Value Management
<b>F&amp;E</b>	Facilities and Equipment
<b>FAA</b>	Federal Aviation Administration
<b>FAST</b>	FAA Acquisition System Toolset

<b>FISMA</b>	Federal Information Security and Management Act
<b>FONSI</b>	Finding of No Significant Interest
<b>FSS</b>	Federal Supply Schedule
<b>GFI</b>	Government Furnished Information
<b>GFP</b>	Government Furnished Property
<b>GSA</b>	General Services Administration
<b>ILS</b>	Integrated Logistics Support
<b>IOT&amp;E</b>	Independent Operational Test and Evaluation
<b>IRT</b>	Integrated Requirements Team
<b>ISM</b>	In-Service Manager
<b>ISR</b>	In-Service Review
<b>ISS</b>	Information System Security
<b>JRC</b>	Joint Resources Council
<b>LOB</b>	Line of Business
<b>MCC</b>	Merchant Category Codes
<b>MOA</b>	Memorandum of Agreement
<b>MOU</b>	Memorandum of Understanding
<b>NAIC</b>	North American Industry Classification
<b>NAS</b>	National Airspace System
<b>NCP</b>	National Airspace System Change Proposal
<b>NDI</b>	Non-developmental Item
<b>ODR</b>	Office of Dispute Resolution
<b>O&amp;M</b>	Operations and Maintenance
<b>OMB</b>	Office of Management and Budget
<b>OPR</b>	Offices of Primary Responsibility
<b>OSHA</b>	Occupational Safety and Health Administration
<b>OST</b>	Office of the Secretary of Transportation
<b>P3I</b>	Preplanned Product Improvement
<b>PSM</b>	Procurement Strategy Meeting
<b>PT</b>	Product Team
<b>QRO</b>	Quality Reliability Officer
<b>QVL</b>	Qualified Vendor List
<b>RCCB</b>	Regional Configuration Control Board
<b>RE&amp;D</b>	Research, Engineering, and Development
<b>RFO</b>	Request For Offer
<b>RMA</b>	Reliability, Maintainability, and Availability
<b>SB</b>	Small Business
<b>SDB</b>	Small Disadvantage Business
<b>SDVOSB</b>	Service-Disabled Veteran Owned Small Business
<b>SEDB</b>	Socially and Economically Disadvantaged Businesses

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- SIC** Standard Industrial Classification
- SIR** Screening Information Request
- SSO** Source Selection Official
- T&E** Test and Evaluation
- U.S.C.** United States Code
- VSB** Very Small Business

**New Content:** Acquisition Management Policy:  
**Section 4.16.2 : Contract Requirements**

Contractor EVM implementation must be consistent with the strategy in the implementation strategy and planning document, section 2.8, Contract Management. All capital investment programs must use the following table to determine the application of EVM to the development, modernization, and enhancement work assigned to contractors. The requirements apply to all contract types. On an exception basis, low-risk contractor efforts, i.e., firm fixed-price production, may implement EVM within a FAA program office at the program level. Contractor EVM implementation must be based on an assessment of the cost, schedule, and technical performance risk of each contract.

**FAA Contract EVMS Requirements**

	Total Contract Value (\$M)	Total Contract Value (\$M)
EVMS Requirements	>\$10	<\$10
Contract Performance Report	R	O
Integrated Master Schedule	R	O
Integrated Baseline Reviews	R	O
EVMS Standard Compliance	R	O
EVM System Certification	R	O

*R = Required by approving authority*

*O = Optional* **Red Line Content:** Acquisition Management Policy:

**Section 4.16.2 : ~~Appendix~~ Contract D: Acronyms Requirements**

- ADR** Alternative Dispute Resolution
- AEB** Acquisition Executive Board
- AIP** Airport Improvement Program
- AMS** Acquisition Management System
- AOPC** Agency/Organization Program Coordinator
- AP** Approving Official
- ASAG** Acquisition System Advisory Group
- BCAR** Business Case Analysis Report
- CAS** Cost Accounting Standards
- CAS** Commercially Available Software (2<sup>nd</sup> definition for this acronym)
- CCB** Configuration Control Board

<b>CCD</b>	Configuration Control Decision
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<b>CPIC</b>	Capital Planning and Investment Control
<b>DPA</b>	Delegation of Procurement Authority
<b>DOT</b>	Department of Transportation
<b>DRO</b>	Dispute Resolution Officer
<b>EA</b>	Enterprise Architecture
<b>EIS</b>	Environmental Impact Statement
<b>EVM</b>	Earned Value Management
<b>F&amp;E</b>	Facilities and Equipment
<b>FAA</b>	Federal Aviation Administration
<b>FAST</b>	FAA Acquisition System Toolset
<b>FISMA</b>	Federal Information Security and Management Act
<b>FONSI</b>	Finding of No Significant Interest
<b>FSS</b>	Federal Supply Schedule
<b>GFI</b>	Government Furnished Information
<b>GFP</b>	Government Furnished Property
<b>GSA</b>	General Services Administration
<b><u>IDA</u></b>	Investment Decision Authority
<b>ILS</b>	Integrated Logistics Support
<b>IOT&amp;E</b>	Independent Operational Test and Evaluation
<b>IRT</b>	Integrated Requirements Team
<b>ISM</b>	In-Service Manager
<b>ISR</b>	In-Service Review
<b>ISS</b>	Information System Security
<b>JRC</b>	Joint Resources Council
<b>LOB</b>	Line of Business
<b>MCC</b>	Merchant Category Codes
<b>MOA</b>	Memorandum of Agreement
<b>MOU</b>	Memorandum of Understanding
<b>NAIC</b>	North American Industry Classification
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<b>NDI</b>	Non-developmental Item
<b>ODR</b>	Office of Dispute Resolution
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<b>OMB</b>	Office of Management and Budget
<b>OPR</b>	Offices of Primary Responsibility
<b>OSHA</b>	Occupational Safety and Health Administration
<b>OST</b>	Office of the Secretary of Transportation
<b>P3I</b>	Preplanned Product Improvement
<b>PSM</b>	Procurement Strategy Meeting
<b>PT</b>	Product Team
<b>QRO</b>	Quality Reliability Officer
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<b>RE&amp;D</b>	Research, Engineering, and Development
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<b>SDB</b>	Small Disadvantage Business
<b>SDVOSB</b>	Service-Disabled Veteran Owned Small Business
<b>SEDB</b>	Socially and Economically Disadvantaged Businesses
<b>SIC</b>	Standard Industrial Classification
<b>SIR</b>	Screening Information Request
<b>SSO</b>	Source Selection Official
<b>T&amp;E</b>	Test and Evaluation
<b>U.S.C.</b>	United States Code
<b>VSB</b>	Very Small Business

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### **Appendix A: Roles and Responsibilities**

**Old Content:** Acquisition Management Policy:

#### **Appendix A: Roles and Responsibilities**

#### **JOINT RESOURCES COUNCIL**

- Approves the FAA investment portfolio each year as part of the budget submission process;
- Approves the FAA enterprise architecture;
- Makes the decision to approve a new investment program for inclusion in a service portfolio at the conclusion of investment analysis;
- Selects a solution;
- Establishes an investment program and assigns it to a service organization;

- Baselines program requirements in Exhibit 300 program baseline attachment 1: Program Requirements;
- Approves the Exhibit 300 program baseline;
- Commits the FAA to full funding of the approved investment program phase;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation and in-service management;
- Makes Exhibit 300 program baseline change decisions that alter program performance, cost, schedule, and benefits baselines during solution implementation or in-service management;
- Approves FAA budget submissions for the RE&D, and F&E appropriations, and reviews the O&M appropriation. The Administrator approves the O&M budget before submission to the Office of the Secretary for Transportation;
- Makes production and in-service decisions or assigns approval authority to another organization; and
- Participates in service-level reviews to manage ongoing investment programs, including operational assets.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Associate Administrator for Aviation Safety;
- Chief Information Officer;
- General Counsel;
- Chief Financial Officer;
- Associate Administrator for Region and Center Operations;
- Associate Administrator for Airports; and
- ATO Financial Officer.

The following members attend JRC meetings when the decision concerns their organizational responsibilities:

- Associate Administrator for Commercial Space Transportation;
- Assistant Administrator for Aviation Policy, Planning, and Environment; and
- Director for Joint Planning and Development Office.

#### **ATO EXECUTIVE COUNCIL**

- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., air traffic control services and the National Airspace System);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy; and
- Oversees execution of those investment programs assigned by the Joint Resources Council.

## **INFORMATION TECHNOLOGY EXECUTIVE BOARD**

- Reviews and approves OMB Exhibit 300s for designated information technology capital investments during the annual budget cycle before submission to the Department of Transportation and OMB;
- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., administrative systems, some mission support services, certain NAS investments);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Oversees execution of information technology investments assigned by the JRC; and
- Makes investment decisions in areas specified by the Joint Resources Council.

## **ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER**

- Require service analysis for designated business areas within the line of business;
- Approve entry into initial investment analysis;
- Recommend changes to the enterprise architecture;
- Provide staff support to the concept and requirements analysis and investment analysis for service needs within the line of business;
- Jointly approve the Exhibit 300 program baseline with the Acquisition Executive, Chief Financial Officer, and Chief Information Officer for programs within the line of business;
- Implement a non-material solution to a service need that emerges any time during mission analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business.

## **ACQUISITION EXECUTIVE**

- Manages Acquisition Management System policy;
- Member of the Joint Resources Council;
- Jointly approves the Exhibit 300 program baseline with the Chief Financial Officer, Chief Information Officer, and Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business;
- Chairs the Joint Resources Council at the investment decision and at Exhibit 300 program baseline change decisions;
- Chairs service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

## **VICE PRESIDENTS AND SERVICE DIRECTORS**

- Have overall responsibility and accountability for the delivery of services by the service unit or service directorate under their management;

- Deliver status briefings for their service portfolio to the Joint Resources Council at semi-annual service-level reviews;
- Approve plans for concept and requirements definition and assign necessary human resources;
- Make the decision to enter concept and requirements definition after all entrance criteria are satisfied;
- Approve plans for investment analysis and assign necessary human resources;
- Approve attachments 1 (program requirements) and 3 (implementation strategy and planning) of the Exhibit 300 program baseline;
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs; and
- Approve updates to the implementation strategy and planning document during in-service management and forwards signed updates to the JRC Executive Secretariat.

## **JOINT RESOURCES COUNCIL EXECUTIVE SECRETARIAT**

The JRC Executive Secretariat manages the investment decision-making process for the JRC and for the ATO Executive Council. The JRC Executive Secretariat:

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an investment decision before scheduling the program for a JRC or JRC subordinate investment review board decision;
- Coordinates JRC and ATO Executive Council meeting dates and arranges logistics;
- Processes JRC-related tailoring requests;
- Manages the paper JRC process;
- Prepares records of decision from JRC meetings, minutes from JRC service-level reviews, and notes from ATO Executive Council meetings related to investment decisions;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains JRC guidance documents and processes.

## **CAPITAL INVESTMENT TEAM**

The capital investment team (CIT) is composed of senior-level staff and managers from ATO-Finance, ATO-Operations Planning, the FAA's Office of Financial Services, and management representatives of non-ATO offices when their programs are being reviewed; responsible for supporting the ATO Chief Financial Officer, the ATO-Executive Committee and the Joint Resources Council in establishing and maintaining year-round prioritization of all ongoing and proposed investment programs, performing budget impact assessments for new proposed investment programs, preparing annual budget submissions, and preparing reprogramming of funds recommendations. Functional disciplines on the team include operational air traffic control expertise, system engineering, investment analysis, and capital and operations budgeting. The CIT:

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- Reviews ATO investment programs and provides recommendations to the ATO Vice President of Finance prior to JRC presentation and approval to assess business justification, budget affordability, and program priority;
- Formulates ATO Capital R&D funding requirements;
- Reviews non-ATO investments proceeding to the JRC and provides business based, objective recommendations to the ATO Vice President of Finance for use on the JRC;
- Performs corporate budget formulation and execution, including budget impact assessments, and recommendations of funding offsets and reprogramming due to program baseline changes, marks/pass-backs from OST, OMB, and Congress; and
- Establishes and maintains an up-to-date prioritization of all on-going and proposed investment programs for use in budget impact assessments and determination of offsets.

### **DIRECTOR, OFFICE OF SAFETY MANAGEMENT**

- Conducts independent operational test and evaluation for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning for programs designated for IOT&E.

### **PRODUCT OR SERVICE TEAM**

- Develops, procures, and delivers products or services for users or customers;
- Manages each investment program's Exhibit 300 program baseline and predicts and reports breaches to management;
- Updates the OMB Exhibit 300 annually;
- Assists in development of the program requirements recorded in attachment 1: Program Requirements of the Exhibit 300 program baseline;
- Develops cost and schedule baselines for alternative solutions during final investment analysis;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation and in-service management in the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning;
- Supports the conduct of post-implementation reviews;
- Assesses operational assets annually at a minimum to determine whether they should continue in service as is or be modified, upgraded, or removed from service; and
- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary, depending on the type of program, but typically include; management of requirements; test and evaluation; deployment planning; logistics support; procurement planning; real property; acquisition, management, and disposal; configuration management; earned value management; human factors; environmental, occupational safety and health, and energy considerations; information technology; system engineering; security; system safety management; spectrum management; risk management; regulation and certification; telecommunications. The service organization is responsible to ensure that all relevant disciplines have been contacted whether or not they appear in the above list.

## **PRODUCT OR SERVICE TEAM LEADER**

- Serves as the Source Selection Official if a procurement is subject to the JRC investment-decision process (unless otherwise designated by the JRC);
- Serves as spokesperson for the team;
- Guides, encourages, and coaches team members;
- Leads and facilitates team efforts without dominating the process;
- Keeps the team focused on consensus decision-making and ensures individual team members do not dominate team deliberations;
- Ensures all program stakeholders are members of the team and that they participate in team decision-making;
- Leads development of an investment program's cost, schedule, benefits, and performance program baseline and presents it for review and approval;
- Determines the management approach for an investment program and applicable contracts based on program size, complexity, risk, and FAA earned value management policy;
- Manages the program baseline and reports performance information to management, including anticipated or actual breaches with corrective actions or a request for a revised program baseline;
- In consultation with the Contracting Officer, determines the acquisition strategy for obtaining the selected solution and establishes the appropriate earned value management and reporting applications for each contract;
- Assures FAA's program needs are acquired through the appropriate source selection process and assures SIRs include adequate definition of requirements;
- Assures qualified technical evaluators, if required, assist the source evaluation team in the evaluation; and
- In consultation with the Contracting Officer, conducts the Integrated Baseline Review, assisted by the Contracting Officer's Technical Representative.

## **CONTRACTING OFFICER**

- Serves as the Source Selection Official for procurements not subject to the JRC investment-decision process;
- Ensures, when applicable, conflict of interest documentation is obtained from the Source Selection Official and all source evaluation team members; with legal counsel, determines if any actual or apparent conflict of interest exists and if so resolves or mitigates the conflict;
- Ensures source evaluation team members are briefed on sensitivities of the source selection process, prohibition against unauthorized disclosure of information (including their responsibility to safeguard proposals and any documentation related to the source selection team proceedings), and requirements concerning conflict of interest; ensures Source Selection Official and source evaluation team members provide nondisclosure of information statements;
- Coordinates communications with industry, controls all written documentation issued to industry, and conducts all debriefings;

- Participates during screening, selection, and debriefing phases of source selection to ensure fair treatment of all offerors;
- Issues letters, public announcements, screening information requests and amendments, and other procurement documents;
- Ensures the contract is signed by a contractor's representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies;
- Executes, administers, and terminates contracts and makes related determinations and decisions that are contractually binding.

### **SOURCE SELECTION OFFICIAL**

- Assures source evaluation team competence, cohesiveness, and effectiveness;
- Assigns responsibility to a source evaluation team member to mark all source selection sensitive information with the designation "source selection sensitive information."
- Approves source evaluation plans and assures the evaluation conforms to the stated evaluation criteria; and
- Makes down-select decisions and assumes full authority to select the source for award.

### **SOURCE EVALUATION TEAM**

- Drafts all SIRs;
- Formulates the source evaluation plan;
- Reviews existing lessons learned reports that provide meaningful insight into the procurement;
- Ensures an in-depth review and evaluation of each submitted screening document against FAA requirements and stated evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the SSO may make down selection and/or award decisions, and if requested by the SSO, prepares documentation for the SSO's decision rationale;
- Oversees all procedural and administrative aspects of the procurement;
- Selects advisors to assist the team in its evaluation, if required;
- Participates in all debriefings; and
- Prepares a lessons learned memorandum after completing the source selection.

### **OFFICE OF THE CHIEF COUNSEL**

- Represents the FAA's legal interests on product or service teams engaged in the acquisition of goods and services in support of the FAA's mission;
- Exercises independent professional judgment, advises teams on relevant legal, governmental, and business issues, and promotes the legality and integrity of acquisition actions;
- Represents the FAA in connection with procurement-related litigation, alternative dispute resolution and other matters;
- Serves as core member of the Joint Resources Council.

## **OFFICE OF DISPUTE RESOLUTION FOR ACQUISITION**

- FAA Administrator's impartial administrative forum for adjudication of bid protests and contract disputes arising under the Acquisition Management System;
- Provides dispute resolution services to the FAA and its private business partners, implementing the FAA's policy to utilize Alternative Dispute Resolution (ADR) to the maximum extent practicable;
- Conducts a streamlined adjudication process for matters un-resolvable through ADR;
- Provides "Findings and Recommendations", and issues orders and decisions supported by the case record and law, on behalf of the FAA Administrator;
- Promulgates and operates in accordance with rules of procedure; and
- Recommends changes to the Acquisition Management System.

## **SERVICE ORGANIZATIONS**

- Plan and manage resources as assigned by the Joint Resources Council to deliver services within their service area of responsibility;
- Conduct service analysis for assigned services and plan service delivery;
- Maintain consistency between service area planning and FAA strategic and performance goals;
- Work with the appropriate systems engineering organization to develop concepts of use and requirements, as required;
- Work with the appropriate systems engineering organization to determine realistic alternative solutions to service area needs; and
- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

## **ATO OPERATIONS PLANNING ORGANIZATION**

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Interfaces with OST, OMB, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Oversees and coordinates the ATO strategic management process; and
- Provides test and evaluation services.

## **SYSTEMS ENGINEERING ORGANIZATIONS**

- Work with both corporate mission analysis and service organizations to ensure consistency between service area planning and the long-range strategic direction of the FAA;
- Work with service organizations to translate user needs into a sequenced and traceable architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;
- Work with service organizations to determine realistic alternative solutions to service need and assess their impact on the enterprise architecture;

- Work with service organizations to conduct service analysis and incorporate associated recommendations into the enterprise architecture; and
- Work with service organizations to develop the Exhibit 300 program baseline attachment 1: Program Requirements.

## **ATO SYSTEMS ENGINEERING ORGANIZATION**

- Performs corporate-level mission analysis;
- Oversees the NAS segment of the enterprise architecture;
- Coordinates service analysis activity across service organizations to ensure alignment with FAA strategic and performance goals and to eliminate redundant activity, duplicate benefits, service gaps, and service overlap;
- Develops and maintains standards and tools for conducting service analysis;
- Assists service organizations in establishing a service analysis capability and conducting service analysis; and
- Leads planning and activities for concept and requirements definition

## **CHIEF FINANCIAL OFFICER**

- Jointly approves the Exhibit 300 program baseline with the Acquisition Executive, Chief Information Officer, and the Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business at the final investment decision;
- Serves as a core member of the Joint Resources Council; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

## **CHIEF INFORMATION OFFICER**

- Serves as a core member of the Joint Resources Council;
- Chairs the Information Technology Executive Board;
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB;
- Jointly approves the Exhibit 300 program baseline with the Acquisition Executive, Chief Financial Officer, and the Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business at the final investment decision; and
- Oversees the enterprise architecture.

## **AIO VALUE MANAGEMENT OFFICE**

- Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Exhibit 300s;
- Independently scores OMB Exhibit 300s and provides feedback to service organizations
- Independently scores Exhibit 300 program baselines and provides feedback to the JRC Secretariat.

- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Information Technology Executive Board, Department of Transportation, and Office of Management and Budget; and
- Conducts EVM assessments for programs requiring submission of an Exhibit 300 to OMB and ensures EVM transition plans for those programs are implemented effectively.

### **EARNED VALUE MANAGEMENT FOCAL POINT**

- Serves as the FAA EVM executive agent;
- Assists program managers and business managers to apply EVM system requirements to capital investment programs and contracts;
- Coordinates EVM activities for FAA with other government agencies and with industry and professional associations; and
- Collects monthly schedule and cost performance data, variance analysis and corrective action plans for major programs.

### **IN-SERVICE DECISION SECRETARIAT**

The in-service decision secretariat manages the deployment planning process for the JRC and for the ATO Executive Council. The secretariat:

- Coordinates with the JRC executive secretariat to verify that JRC readiness criteria for a final investment decision have been satisfied;
- Facilitates the efforts of service organizations to ensure timely and effective in-service decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an in-service decision before scheduling the program for a stakeholder and in-service decision meeting;
- Prepares records of decision; and
- Tracks ISD action plans until closure.
- Originators develop proposed changes in conjunction with primary users of the policy or guidance, or in the case of a complex change, with an ad hoc workgroup.

### **ACQUISITION EXECUTIVE BOARD**

A corporate body that assists and supports the FAA Acquisition Executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, tools, and training. The AEB:

- Reviews, authorizes, and oversees development and implementation of acquisition management policy, process, practices, procedures, tools, and training at all organizational levels;
- For authorized change proposals, charters and provides resources for cross-functional work groups to conduct feasibility and cost/benefit analyses for proposed policy, guidance, practice, and procedure changes;

- Directs, controls, and approves all compliance processes associated with execution of any aspect of AMS; and
- Directs and oversees the Acquisition System Advisory Group.

**New Content: Acquisition Management Policy:  
Appendix A: Roles and Responsibilities**

**JOINT RESOURCES COUNCIL**

- Approves the FAA investment portfolio each year as part of the budget submission process;
- Approves the FAA enterprise architecture;
- Makes the decision to approve an ACAT 1 or ACAT 2 investment program for inclusion in a service portfolio at the conclusion of investment analysis;
- Establishes ACAT 1 and 2 investment programs and assigns execution to a service organization;
- Baselines program requirements for ACAT 1 and ACAT 2 investment programs in the final program requirements document;
- Approves the acquisition program baseline for ACAT 1 and ACAT 2 investment programs;
- Commits the FAA to full funding of the approved investment program segment for ACAT 1 and ACAT 2 investment programs;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation and in-service management for ACAT 1 and ACAT 2 investment programs;
- Makes acquisition program baseline change decisions that alter program performance, cost, and schedule baselines during solution implementation for ACAT 1 and ACAT 2 investment programs;
- Approves FAA budget submissions for the RE&D, and F&E appropriations, and reviews the O&M appropriation. The Administrator approves the O&M budget before submission to the Office of the Secretary for Transportation;
- Makes production and in-service decisions or assigns approval authority to another organization for ACAT 1 and ACAT 2 investment programs; and
- Conducts service-level reviews to manage ongoing investment programs, including operational assets.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Associate Administrator for Aviation Safety;
- Chief Information Officer;
- General Counsel;
- Chief Financial Officer;
- Associate Administrator for Region and Center Operations;
- Associate Administrator for Airports; and

- ATO Financial Officer.

The following members attend JRC meetings when the decision concerns their organizational responsibilities:

- Associate Administrator for Commercial Space Transportation;
- Assistant Administrator for Aviation Policy, Planning, and Environment; and
- Director for Joint Planning and Development Office.

### **ATO EXECUTIVE COUNCIL**

- Serves with the acquisition executive as the investment decision authority for ATO ACAT 3 and ACAT 4 investment programs (e.g., air traffic control services and the National Airspace System);
- Coordinates and integrates activity across ATO service units to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy; and
- Oversees execution of ACAT 3 - ACAT 5 investment programs within the ATO and as assigned by the Joint Resources Council.

### **INFORMATION TECHNOLOGY EXECUTIVE BOARD**

- Reviews and approves OMB Exhibit 300s for designated information technology capital investments during the annual budget cycle before submission to the Department of Transportation and OMB;
- Serves as the investment decision authority for ACAT 3 - ACAT 5 non-NAS information technology investment programs (e.g., administrative systems, some mission support services, certain NAS investments);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Oversees execution of information technology investments assigned by the JRC and AMS ACAT policy; and
- Makes investment decisions in areas specified by the Joint Resources Council and AMS ACAT policy.

### **ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER**

- Require service analysis for designated services (e.g., en-route service, terminal service, regulatory service, certification service) within the line of business;
- Approve entry into initial investment analysis for ACAT 3 – ACAT 5 investment programs;
- Serve with the acquisition executive and Chief Financial Officer as the investment decision authority for non-ATO, non information technology investment programs within the line of business per AMS ACAT policy;

- Provide staff support to concept and requirements analysis and investment analysis activity for service needs within the line of business;
- Implement non-material solutions to a service need that emerge any time during mission analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business.

## **ACQUISITION EXECUTIVE**

- Manages AMS policy;
- Member of the Joint Resources Council and all other investment decision authorities except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Jointly approves the acquisition program baseline with other designated members of the investment decision authority for all ACATs except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Chairs the Joint Resources Council at ACAT 1 and ACAT 2 investment decisions and at all acquisition program baseline change decisions except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Chairs service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

## **VICE PRESIDENTS (ATO) AND SERVICE DIRECTORS (non-ATO)**

- Responsible and accountable for the delivery of services by service organizations under their management;
- Deliver status briefings for their service portfolio to the Joint Resources Council at semi-annual service-level reviews;
- Approve plans for concept and requirements definition and assign necessary human resources;
- Make the decision to enter concept and requirements definition after all entrance criteria are satisfied;
- Assess operational assets annually at a minimum to determine whether they should continue in service or be modified, upgraded, or removed from service;
- Approve plans for investment analysis and assign necessary human resources;
- Approve the program requirements document and the implementation strategy and planning document; and
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs.

## **INVESTMENT DECISION AUTHORITY EXECUTIVE SECRETARIAT**

The IDA executive secretariat manages the investment decision-making process for all investment decision authorities except the ITEB. The JRC secretariat as the IDA executive secretariat does the following:

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of investment initiatives seeking an investment decision before scheduling an IDA decision;
- Coordinates JRC and ATO Executive Council meeting dates and arranges logistics;
- Manages the paper IDA process;
- Prepares records of decision from IDA meetings, minutes from JRC service-level reviews, and notes from meetings of subordinate review boards (with exception of the ITEB) related to investment decisions;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains IDA guidance documents and processes.

## **CAPITAL INVESTMENT TEAM**

The capital investment team (CIT) is composed of senior-level staff and managers from ATO-Finance, ATO-Operations Planning, Office of Financial Services, and management representatives of non-ATO offices when their programs are being reviewed; responsible for supporting the ATO Chief Financial Officer, the ATO Executive Committee and the Joint Resources Council in establishing and maintaining year-round prioritization of all ongoing and proposed investment programs, performing budget impact assessments for new proposed investment programs, preparing annual budget submissions, and preparing reprogramming of funds recommendations. Functional disciplines on the team include operational air traffic control expertise, system engineering, investment analysis, and capital and operations budgeting. The CIT:

- Reviews ATO investment programs and provides recommendations to the ATO Vice President of Finance prior to IDA presentation and approval to assess business justification, budget affordability, and program priority;
- Formulates ATO Capital R&D funding requirements;
- Reviews non-ATO investments proceeding to the IDA and provides business-based, objective recommendations to the ATO Vice President of Finance for use on the JRC;
- Performs corporate budget formulation and execution, including budget impact assessments, and recommendations of funding offsets and reprogramming due to program baseline changes, marks/pass-backs from OST, OMB, and Congress; and
- Establishes and maintains an up-to-date prioritization of all on-going and proposed investment programs for use in budget impact assessments and determination of offsets.

## **DIRECTOR, OFFICE OF SAFETY MANAGEMENT**

- Conducts independent operational test and evaluation for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the implementation strategy and planning document for programs designated for IOT&E.

## **PRODUCT OR SERVICE TEAM**

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- Develops, procures, and delivers products or services for users or customers;
- Manages the acquisition program baseline of investment programs it is implementing and reports breaches to management;
- Updates the OMB Exhibit 300 annually for designated programs;
- Assists in development of the program requirements recorded in the program requirements document;
- Develops cost and schedule baselines during final investment analysis for the solution selected for implementation;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation in the implementation strategy and planning document;
- Supports the conduct of post-implementation reviews;
- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary by the type of program, but typically include: management of requirements; test and evaluation; deployment planning; logistics support; procurement planning; real property; acquisition, management, and disposal; configuration management; earned value management; human factors; environmental, occupational safety and health, and energy considerations; information technology; system engineering; security; system safety management; spectrum management; risk management; regulation and certification; telecommunications. The service organization is responsible to ensure that all relevant disciplines have been contacted whether or not they appear in the above list.

## **PRODUCT OR SERVICE TEAM LEADER**

- Serves as the source selection official for procurements subject to the IDA process unless otherwise designated by the IDA;
- Serves as spokesperson for the team;
- Guides, encourages, and coaches team members;
- Leads and facilitates team efforts without dominating the process;
- Keeps the team focused on consensus decision-making and ensures individual team members do not dominate team deliberations;
- Ensures all stakeholders are members of the team and that they participate in team decision-making;
- Leads development of cost, schedule, and performance baselines during final investment analysis;
- Determines the management approach for an investment program and applicable contracts based on program size, complexity, risk, and FAA earned value management policy;
- Manages the acquisition program baseline and reports performance information to management, including anticipated or actual breaches with corrective actions or a request for a revised program baseline;
- In consultation with the contracting officer, determines the acquisition strategy for obtaining the selected solution and establishes the appropriate earned value management and reporting applications for each contract;

- Assures FAA program needs are acquired through the appropriate source selection process and assures SIRs include adequate definition of requirements;
- Assures qualified technical evaluators, if required, assist the source evaluation team in the evaluation; and
- In consultation with the contracting officer, conducts the integrated baseline review, assisted by the contracting officer's technical representative;

## **CONTRACTING OFFICER**

- Serves as the source selection official for procurements not subject to the IDA decision process;
- Ensures, when applicable, conflict of interest documentation is obtained from the source selection official and all source evaluation team members; with legal counsel, determines if any actual or apparent conflict of interest exists and if so resolves or mitigates the conflict;
- Ensures source evaluation team members are briefed on sensitivities of the source selection process, prohibition against unauthorized disclosure of information (including their responsibility to safeguard proposals and any documentation related to the source selection team proceedings), and requirements concerning conflict of interest; ensures source selection official and source evaluation team members provide nondisclosure of information statements;
- Coordinates communications with industry, controls all written documentation issued to industry, and conducts all debriefings;
- Participates during screening, selection, and debriefing phases of source selection to ensure fair treatment of all offerors;
- Issues letters, public announcements, screening information requests and amendments, and other procurement documents;
- Ensures the contract is signed by a contractor's representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies; and
- Executes, administers, and terminates contracts and makes related determinations and decisions that are contractually binding.

## **SOURCE SELECTION OFFICIAL**

- Assures source evaluation team competence, cohesiveness, and effectiveness;
- Assigns responsibility to a source evaluation team member to mark all source selection sensitive information with the designation "source selection sensitive information."
- Approves source evaluation plans and assures the evaluation conforms to the stated evaluation criteria; and
- Makes down-select decisions and assumes full authority to select the source for award.

## **SOURCE EVALUATION TEAM**

- Drafts all SIRs;
- Formulates the source evaluation plan;

- Reviews existing lessons-learned reports that provide meaningful insight into the procurement;
- Ensures an in-depth review and evaluation of each submitted screening document against FAA requirements and evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the SSO may make down selection and/or award decisions, and if requested by the SSO, prepares documentation for the SSO decision rationale;
- Oversees all procedural and administrative aspects of the procurement;
- Selects advisors to assist the team in its evaluation, if required;
- Participates in all debriefings; and
- Prepares a lessons learned memorandum after completing the source selection.

#### **OFFICE OF THE CHIEF COUNSEL**

- Represents FAA legal interests on product or service teams engaged in the acquisition of goods and services;
- Exercises independent professional judgment, advises teams on relevant legal, governmental, and business issues, and promotes the legality and integrity of acquisition actions;
- Represents the FAA in connection with procurement-related litigation, alternative dispute resolution, and other matters; and
- Serves as core member of the Joint Resources Council.

#### **OFFICE OF DISPUTE RESOLUTION FOR ACQUISITION**

- FAA Administrator's impartial administrative forum for adjudication of bid protests and contract disputes arising under the AMS;
- Provides dispute resolution services to the FAA and its private business partners, implementing FAA policy to utilize Alternative Dispute Resolution (ADR) to the maximum extent practicable;
- Conducts a streamlined adjudication process for matters un-resolvable through ADR;
- Provides "Findings and Recommendations", and issues orders and decisions supported by the case record and law, on behalf of the FAA Administrator;
- Promulgates and operates in accordance with rules of procedure; and
- Recommends changes to the Acquisition Management System.

#### **SERVICE ORGANIZATIONS**

- Plan and manage resources as assigned by an IDA to deliver services within their service area of responsibility;
- Conduct service analysis for assigned services and plan service delivery;
- Maintain consistency between service planning and FAA strategic and performance goals;
- Work with the appropriate systems engineering organization to develop concepts of use and requirements, as required;

- Work with the appropriate systems engineering and operating organizations to determine realistic alternative solutions to service needs; and
- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

### **ATO OPERATIONS PLANNING ORGANIZATION**

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Interfaces with OST, OMB, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Oversees and coordinates the ATO strategic management process; and
- Provides test and evaluation services.

### **SYSTEMS ENGINEERING ORGANIZATIONS**

- Work with both corporate mission analysis and service organizations to ensure consistency between service planning and the long-range strategic direction of the FAA;
- Work with service organizations to translate user needs into a sequenced and traceable architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;
- Work with service organizations to determine realistic alternative solutions to service need and assess their impact on the enterprise architecture;
- Work with service organizations to conduct service analysis and incorporate associated recommendations into the enterprise architecture; and
- Work with service organizations to develop the program requirements document.

### **ATO SYSTEMS ENGINEERING ORGANIZATION**

- Performs corporate-level mission analysis;
- Oversees the NAS segment of the enterprise architecture;
- Coordinates service analysis activity across service organizations to ensure alignment with FAA strategic and performance goals and to eliminate redundant activity, duplicate benefits, service gaps, and service overlap;
- Develops and maintains standards and tools for conducting service analysis;
- Assists service organizations in establishing a service analysis capability and conducting service analysis; and
- Leads planning and activities for concept and requirements definition

### **CHIEF FINANCIAL OFFICER**

- Jointly approves the acquisition program baseline with other IDA members except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Serves as a core member of the Joint Resources Council; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

## **CHIEF INFORMATION OFFICER**

- Serves as a core member of the Joint Resources Council;
- Chairs the Information Technology Executive Board;
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB;
- Jointly approves the acquisition program baseline with other IDA members for ACAT 1 – ACAT 2 investment programs and for ACAT 3 – ACAT 5 non-NAS information technology investment programs; and
- Oversees the enterprise architecture.

## **AIO VALUE MANAGEMENT OFFICE**

- Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Exhibit 300s;
- Independently scores OMB Exhibit 300s and provides feedback to service organizations and the IDA Secretariat for designated investment programs;
- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Information Technology Executive Board, Department of Transportation, and Office of Management and Budget; and
- Conducts EVM assessments for programs requiring submission of an Exhibit 300 to OMB and ensures EVM transition plans for those programs are implemented effectively.

## **EARNED VALUE MANAGEMENT FOCAL POINT**

- Serves as the FAA EVM executive agent;
- Assists program managers and business managers to apply EVM requirements to capital investment programs and contracts;
- Coordinates EVM activities for FAA with other government agencies and with industry and professional associations; and
- Collects monthly schedule and cost performance data, variance analysis and corrective action plans for major programs.

## **IN-SERVICE DECISION SECRETARIAT**

The in-service decision secretariat manages the deployment planning process for the JRC and the ATO Executive Council. The secretariat:

- Coordinates with the IDA executive secretariat to verify that IDA readiness criteria for a final investment decision have been satisfied;
- Facilitates the efforts of service organizations to ensure timely and effective in-service decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an in-service decision before scheduling the program for a stakeholder and in-service decision meeting;
- Prepares records of decision; and

- Tracks ISD action plans until closure.

## ACQUISITION EXECUTIVE BOARD

A corporate body that assists and supports the acquisition executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, tools, and training. The AEB:

- Reviews, authorizes, and oversees development and implementation of acquisition management policy, process, practices, procedures, tools, and training at all organizational levels;
- For authorized change proposals, charters and provides resources for cross-functional work groups to conduct feasibility and cost/benefit analyses for proposed policy, guidance, practice, and procedure changes;
- Directs, controls, and approves all compliance processes associated with execution of any aspect of AMS; and
- Directs and oversees the Acquisition System Advisory Group.

**Red Line Content:** Acquisition Management Policy:

### Appendix A: Roles and Responsibilities

**Access.** In general the term "access" is defined as the ability to physically enter or pass through an FAA area or a facility; or having the physical ability or authority to obtain FAA sensitive information, materials and resources. In relation to classified information, the ability, authority or opportunity to obtain knowledge of such information or materials.

**Acquisition Executive Board** is the primary executive-level body that assists and supports the FAA Acquisition Executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, and tools.

**Acquisition planning** is the process by which all acquisition-related disciplines of an investment program are developed, coordinated, and integrated into a comprehensive plan for executing the program and meeting the stated requirements within the cost and schedule boundaries.

Acquisition planning is normally associated with detailed program planning during final investment analysis, but is also important at other times of the lifecycle management process.

**Acquisition program baseline establishes the performance to be achieved by an investment program, as well as the cost and schedule boundaries within which the program is authorized to proceed. The acquisition program baseline is a formal document approved by the investment decision authority at the final investment decision, and is a contract between the FAA and the service organization.**

**Acquisition strategy.** The overall concept and approach of an investment program for acquiring a capability to meet the requirements and perform within the boundaries set forth in the [Exhibit 300acquisition](#) program baseline. The strategy considers all aspects of a program such as acquisition approach, contracting, logistics, testing, systems engineering, risk management,

program management, impact on facilities, human factors, schedules, and cost. The results are documented in [attachment 3: Implementation Strategy and Planning of the Exhibit 300 program](#) implementation strategy and baseline planning document during final investment analysis.

**Affiliate business** is a business that controls or has the power to control another business, or a third party that controls or has the power to control another business (contractual relationships must be considered).

**Agency/organization program coordinator (AOPC)** (also referred as contracting officer's technical representative) means an individual designated by the ordering agency/organization to perform contract administration within the limits of delegated authority. The individual shall have overall responsibility for the purchase/credit card program within their bureau, agency/organization or region and may determine who the approving officials or cardholders will be.

**Agreement with a state government, local government, and/or public authority** is a written agreement between the FAA and a state or local government or public authority where the FAA agrees to receive from, or exchange supplies or services with, the other party.

**Agreements with private parties** are written documents executed by the parties, which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party. The term excludes procurement contracts for real estate, supplies and services.

**Agreements with public entities other than Federal agencies** are written documents executed by the parties which call for the exchange of services, equipment, personnel, or facilities, or require the payment of funds to the FAA, or confirm mutual aid and assistance and outline the specific responsibilities of each party. The term includes agreements under which the FAA provides services, equipment, personnel, or facilities and obtains reimbursement on a negotiated basis from the other party.

**Alternative dispute resolution (ADR).** Any procedure or combination of procedures voluntarily used to resolve issues in controversy without the need to resort to litigation. These procedures may include, but are not limited to, assisted settlement negotiations, conciliation, facilitation, mediation, fact-finding, mini-trials, and arbitration. These procedures may involve the use of neutrals.

**Approval.** The agreement that an item is complete and suitable for its intended use.

**Approving official (AP)** means a government employee(s) within the organization who has a number of cardholders under his/her purview and determines that the cardholder's purchases are made within applicable regulations, policies, and procedures.

**Architect-engineer services** are: (1) professional services of an architectural or engineering nature, as defined by State law, if applicable, which are required to be performed or approved by a person licensed, registered, or certified to provide such services; (2) professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and (3) such other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.

**Associate program manager for logistics.** An integrated logistics support specialist responsible for ensuring that all NAS integrated logistics support requirements are identified and satisfied for each piece of equipment in the lifecycle management process, RE&D program, and major equipment modification program.

**Auctioning techniques** is a method of screening vendors using commercial competition techniques, and includes such techniques as indicating to an offeror a cost or price that it must meet to obtain further considerations; advising an offeror of its price standing relative to another offeror; and otherwise furnishing information about other offerors' prices. This may only be used for commercially available products.

**Baseline.** (1) An agreed-to-description of the attributes of a product, at a point in time, which serves as a basis for defining change; (2) an approved and released document, or a set of documents, each of a specific revision; the purpose of which is to provide a defined basis for managing change; (3) the currently approved and released configuration documentation; or (4) a released set of files consisting of a software version and associated configuration documentation.

**Best value.** A term used during procurement source selection to describe the solution that is the most advantageous to the FAA, based on the evaluation of price and other factors specified by the FAA. This approach provides the opportunity for trade-offs between price and other specified factors, and does not require that an award be made to either the offeror submitting the highest rated technical solution, or to the offeror submitting the lowest cost/price, although the ultimate award decision may be to either of these offerors.

**Budget impact assessment.** The process of assessing the budget impact of each alternative solution developed in the investment analysis phase against all existing programs in the FAA's financial baseline for the same years. Standard criteria are used to determine the priority of the candidate program in relation to all others. If the amount of funding available for the years in question is insufficient, offsets from lower priority programs are identified. A budget impact assessment is also performed when considering program baseline changes for existing programs that involve an increase in the cost baseline and the need to reallocate resources.

**Business case analysis report** summarizes the analytical and quantitative information developed during investment analysis in the search for the best means for satisfying mission need. It is the primary information document supporting the initial investment decision.

**Cancellation** is the termination of the total requirements of all remaining program years of a multi-year contract. Cancellation results when the contracting officer notifies the contractor of nonavailability of funds for contract performance for any subsequent program year, or fails to notify the contractor that funds are available for performance of the succeeding program year requirement.

**Cancellation ceiling** is the maximum amount that the FAA will pay the contractor which the contractor would have recovered as a part of the unit price, had the contract been completed. The amount, which is actually paid to the contractor upon settlement for unrecovered costs (which can only be equal to or less than the ceiling), is referred to as the cancellation charge. This ceiling generally includes only nonrecurring costs.

**Capability maturity model (CMM).** A descriptive model of the stages through which organizations progress as they define, implement, evolve, and improve their processes. This model serves as a guide for selecting process improvement strategies by facilitating the determination of the current process capabilities and the identification of issues most critical to quality and process improvement within a particular domain, such as software engineering, software acquisition, or systems engineering.

**Capability maturity model-based evaluation.** An appraisal made by a trained team of professionals, using an established method to (1) identify contractors qualified to perform certain tasks, or (2) monitor the state of the processes used on an existing effort.

**Capability shortfalls,** within the context of mission analysis, refers to the difference between the projected demand for services and ability to meet that demand with the current capability.

**Capital Investment Team (CIT).** A team of senior-level staff and managers from ATO-Finance, ATO-Operations Planning, the FAA's Office of Financial Services, and management representatives of non-ATO offices when their programs are being reviewed; responsible for supporting the ATO Chief Financial Officer, the ATO-Executive Committee and the Joint Resources Council in reviewing investment programs, establishing and maintaining year-round prioritization of all ongoing and proposed investment programs, performing budget impact assessments for new proposed investment programs, preparing annual budget submissions, and preparing reprogramming of funds recommendations.

**Capital Planning and Investment Control (CPIC).** The process used by FAA management to identify, select, control, and evaluate proposed capital investments. The CPIC process encompasses all stages of capital management including planning, budgeting, procurement, deployment, and assessment. Within the FAA, the Acquisition Management System is the CPIC process.

Mission analysis and investment analysis are the “select” portion of the CPIC process, solution implementation is the “control” phase, and in-service management is the “evaluate” phase.

**Cardholder** means the individual government employee with the organization who is a warranted contracting officer or to whom a written delegation of procurement authority has been issued by the cognizant Chief of the Contraction Office or designee granting the use of the purchase and credit transactions made within the established billing period.

**Card issuing bank (CIB)** means the bank which issues cards to cardholders and submits monthly statements to the cardholders, approving officials, and finance offices detailing amounts of purchases and credits made by cardholders.

**Claim**, as used herein, means a contract dispute.

**Classified information.** Official information or material that requires protection in the interest of national security and is classified for such purpose by appropriate classification authority in accordance with the provisions of Executive Orders 12958 "Classified National Security Information", 12968 "Access to Classified Information", and 12829 "National Industrial Security Program".

**Commercial component** means any component that is a commercial item. The term component means any item supplied to the Federal government as part of an end item or of another component. See **Commercial Item**.

**Commercial item** can mean any of the following: [Note: For purposes of this document, the term "commercial item" is interchangeable with the terms "commercially available", "commercial component(s)", "commercial product(s)", and "commercial off-the-shelf (COTS)"]:

(A) Any item, other than real property, that is of a type customarily used by the general public or by nongovernmental entities for purposes other than governmental purposes and that has been sold, leased, licensed to the general public; or has been offered for sale, lease, or license to the general public.

(B) Any item that evolved from an item described in paragraph (A) through advances in technology or performance and that is not yet available in the commercial marketplace, but will be available in the commercial marketplace in time to satisfy the delivery requirements under a government solicitation.

(C) Any item that would satisfy a criterion expressed in paragraphs (A) (B) of this definition, but for-(i) modifications of a type customarily available in the commercial marketplace; or (ii) modifications of a type not customarily available in the commercial marketplace made to meet Federal government requirements.

(D) Any combination of items meeting the requirements of paragraphs (A), (B), (C), or (E) of this definition that are of a type customarily combined and sold in combination to the general public.

(E) Installation services, maintenance services, repair services, training services, and other services if such services are procured for support of an item referred to in paragraph (A), (B), (C), or (D) of this definition, and if the source of such services--(i) offers such services to the general public and the Federal government contemporaneously and under similar terms and conditions; and (ii) offers to use the same work force for providing the Federal government with such services as the source uses for providing such services to the general public.

(F) Services of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed under standards commercial terms and conditions. This does not include services that are sold based on hourly rates without an established catalog or market price for specific service performed.

(G) Any item, combination of items, or service referred to in paragraphs (A) through (F), notwithstanding the fact that the item, combination of items, or service is transferred between or among separate divisions, subsidiaries, or affiliates of a contract; or

(H) An item, determined by the procuring agency to have been developed exclusively at private expense and sold in substantial quantities, on a competitive basis, to multiple state and local governments.

**Commercial-off-the-shelf** is a product or service that has been developed for sale, lease or license to the general public and is currently available at a fair market value. See **Commercial Item**.

**Commercial product** means a product in regular production that is sold in substantial quantities to the general public and/or industry at established catalog or market prices. See **Commercial Item**.

**Commercially available** refers to products, commodities, equipment, material, or services available in existing commercial markets in which sources compete primarily on the basis of established catalog/market prices or for which specific costs/prices established within the industry have been determined to be fair and reasonable. See **Commercial Item**.

**Commonality** refers to the use of identical parts, components, subsystems or systems to achieve economies in development and manufacture.

**Communications**, when referring to contracting, means any oral or written communication between the FAA and an offeror that involves information essential for understanding and evaluating an offeror's submittal(s), and/or determining the acceptability of an offeror's submittal(s).

**Computer resources support.** The facilities, hardware, system support software, software/hardware development and support tools (e.g. compilers, PROM burners),

documentation, and personnel needed to operate and support embedded computer systems. These items represent the resources required for the operational support engineering functions and do not include administrative computer resources.

**Configuration.**(1) The performance, functional, and physical attributes of an existing or planned product, or a combination of products; or (2) one of a series of sequentially created variations of a product.

**Configuration audit.** Product configuration verification accomplished by inspecting documents, products, and records; and reviewing procedures, processes, and systems of operation to verify that the product has achieved its required attributes (performance requirements and functional constraints), and the product's design is accurately documented. Sometimes divided into separate functional and physical configuration audits.

**Configuration change management.**(1) A systematic process which ensures that changes to released configuration documentation are properly identified, documented, evaluated for impact, approved by an appropriate level of authority, incorporated, and verified. (2) The configuration management activity concerning the systematic proposal justification, evaluation, coordination and disposition of proposed changes, and the implementation of all approved and released changes into (a) the applicable configurations of a product, (b) associated product information, and (c) supporting and interfacing products and their associated product information.

**Configuration documentation.** Technical documentation, the primary purpose of which is to identify and define a product's performance, functional, and physical attributes.

**Configuration Identification.** (1) The systematic process of selecting the product attributes, organizing associated information about the attributes, and stating the attributes; (2) unique identifiers for a product and its configuration documents; or (3) the configuration management activity which encompasses selecting configuration documents; assigning and applying unique identifiers to a product, its components, and associated documents; and maintaining document revision relationships to product configurations.

**Configuration management.** A management process for establishing and maintaining consistency of a product's performance, functional, and physical attributes with its requirements, design, and operational information throughout its life.

**Configuration status accounting.** The configuration management activity concerning capture and storage of, and access to, configuration information needed to manage products and product information effectively.

**Configuration verification.** The action verifying that the product has achieved its required attributes (performance requirements and functional constraints) and the product's design is accurately documented.

**Contract** is a legal instrument used to acquire products and services for the direct benefit or use by the FAA.

**Contract.** As used herein denotes the document (for example, contract, memorandum of agreement or understanding, purchase order) used to implement an agreement between a customer (buyer) and a seller (supplier).

**Contract dispute** as used herein, means a written request seeking as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of contract terms, or other relief arising under or relating to the contract. A claim arising under a contract unlike a claim relating to that contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant. The term does not include a request for payment of an invoice, voucher, or similar routine payments expressly authorized under the terms of the contract, which have not been rejected by the contracting officer. The term includes a termination for convenience settlement proposal and request for equitable adjustment, but does not include cost proposals seeking definitization of a letter contract or other undefinitized contract action.

**Contractor.** The party(ies) receiving a direct procurement contract from the FAA and who is responsible for performance of the contract requirements.

**Controversy or concern.** A material disagreement between the FAA and an offeror that could result in a protest.

**Core policy** refers to the official governing policy of the Acquisition Management System. It consists of all Sections and Appendixes A-E of this document. All other acquisition information not contained within this policy document is in the form of guidance, processes, references, and other acquisition aids, used by the lifecycle management workforce with discretion and in a manner that makes sense for individual programs. All of this information, including core policy, is considered to be the entire Acquisition Management System. This information may be found within the FAA Acquisition System Toolset on the Internet.

**Cost** is the contractor's expenses of contract performance, either estimated or actual.

**Cost and pricing data** refers to all facts that, at the time of the price agreement, the seller and buyer would reasonably expect to affect price negotiations. Cost or pricing data require certification. Cost or pricing data are factual, not judgmental data, and are therefore verifiable. While these data do not indicate the accuracy of the prospective contractor's judgment about estimated future costs or projections, they do include the data utilized to form the basis for that judgment. Cost or pricing data are more than historical accounting data; they are all the facts that can be reasonably expected to contribute to the soundness of estimates of future costs and to the validity of determinations of costs already incurred.

**Critical operational issue.** A key operational effectiveness or suitability issue that must be examined in operational test and evaluation to determine a product's capability to perform its mission.

**Customer.** External users of FAA products or services, such as airlines and the flying public.  
**See User.**

**Data.** Recorded information of any nature (including administrative, managerial, financial, and technical), regardless of medium or characteristics.

**Demand,** as used in the context of mission analysis, is the current or projected demand for FAA products, services, and capacity, based on input from diverse sources such as the aviation community, Enterprise Architecture, long-range planners, and operators and maintainers of the NAS and other FAA support systems.

**Design to cost** is a concept that establishes cost elements as management goals to best balance between lifecycle cost, acceptable performance, and schedule. Under this concept, cost is a design constraint during the design, development, and production phases, and a management discipline throughout the system lifecycle.

**Direct-work maintenance staffing.** The direct person-hours required to operate, maintain, and support a product for the duration of its lifecycle.

**Disapproval.** Conclusion by the appropriate authority that an item submitted for approval is either not complete or is not suitable or its intended use.

**Discriminating criteria/key discriminators,** used in procurement context, are those factors expected to be especially important, significant, and critical in the ultimate source selection decision.

**Dispute** as used herein, means a Contract Dispute or Claim.

**Dispute resolution officer** is a licensed legal practitioner who is a member of the Office of Dispute Resolution, and who has authority to conduct proceedings, which, if agreed to by the parties and concurred in by the FAA Administrator, result in binding decisions on the parties.

**Dominant business** is a controlling or major influence in a market in which a number of businesses are primarily engaged. Factors such as business volume; number of employees; financial resources; competitiveness; ownership or control of materials, processes, patents, and license agreements; facilities; sales territory; and nature of the business must be considered.

**Economically disadvantaged individuals** means disadvantaged individuals whose ability to compete in the free enterprise system is impaired due to diminished opportunities to obtain capital and credit as compared to others in the same line of business who are not disadvantaged.

**End Product**~~product~~: A system, service, facility, or operational change that is intended for delivery to a customer or end user.

**Enterprise Architecture**~~architecture~~ defines the operational and technical framework for all capital assets of the FAA. It describes the agency's current and target architectures, as well as the transition strategy for moving from the current to the target architecture. The enterprise architecture has three segments: the NAS architecture, the NAS regulatory architecture, and the non-NAS architecture. The non-NAS segment uses the Federal Enterprise Architecture

Framework (FEAF). The operational view is split between the business process, application, and data views. The systems view in the FEAF is specified in the technical view.

**Enterprise Architecture Products** ~~architecture products~~ include the operational view family (business rule) and systems view family (engineering). Operational view family components represent a set of graphical and textual products that describe the changes in tasks and activities, operational elements, and information exchanges required to accomplish NAS service delivery or ATO business processes. The business process and application views present this information in the FEAF with the data architecture providing the terms used to describe information exchanges between processes. System view family components represent a set of graphical and textual products that describe systems and interfaces that directly or indirectly support, communicate, or facilitate NAS service delivery or ATO business processes. In the FEAF, interfaces between applications are described in the application view. Also in the FEAF, there is a logical description of systems, but not a physical or geographic description in the enterprise architecture.

**Evolutionary product development** is the process of establishing a product designed to evolve over time, as opposed to the need for wholesale replacement, to satisfy requirements. The objective is to accommodate rapid insertion of new technology and upgrades, rather than invest in entirely new products.

~~Exhibit 300 program baseline establishes the performance and benefits requirements to be achieved by an investment program, as well as the cost and schedule boundaries within which the program is authorized to perform. The Exhibit 300 program baseline is a formal document approved by the Joint Resources Council at the final investment decision, and in effect, is a contract between the FAA and the service organization.~~ **FAA disputes resolution system** is a process established within the FAA for resolving protests of FAA screening information request and contract awards, as well as contract disputes.

**FAA Office of Dispute Resolution for Acquisition** is an independent organization within the FAA, reporting to the FAA Chief Counsel, which is staffed with an appropriate number of dispute resolution officers.

**Fee** is compensation paid to a consultant for professional services rendered.

**Firm**, as defined for architect-engineering services, is any individual, partnership, corporation, association, or other legal entity permitted by law to practice the professions of architecture or engineering.

**Firmware.** The combination of a hardware device and computer instructions or computer data that reside as read-only software "burned into" the hardware device; various types of firmware include devices whose software code is erasable/re-programmable to some degree.

**First-Level Technical Support.** This work comprises maintenance of the National Airspace System infrastructure and includes certifying equipment and performing periodic maintenance, restoration, troubleshooting, and corrective activities.

**Functional baseline** is the initially approved documentation describing a ~~system's or item~~ product's functional, interoperability, and interface characteristics, and the verification required to demonstrate the achievement of those characteristics.

**Generic processes.** Flowcharts and supporting information, including descriptions, approving officials, references, templates, and other aids that describe each event of a phase of the lifecycle management process. Generic processes are provided to service organizations for guidance to assist in the complex planning, product development, procurement, production, testing, delivery, and implementation activities of this important phase of the lifecycle management process. Generic processes are an integral part of FAST.

**Hardware products.** Made of material and their components (mechanical, electrical, electronic, hydraulic, pneumatic). Computer software and technical documentation are excluded.

**Historically black colleges and universities.** Institutions determined by the U.S. Secretary of Education to meet the requirements of 34 CFR 608.2 and listed therein.

**Human factors** are a multi-disciplinary effort to generate and apply human performance information to acquire safe, efficient, and effective operational systems.

**Implementation strategy and planning** is the detailed planning document for all aspects of program implementation. It integrates the planning requirements of several previous FAA planning documents including the program master plan, the integrated logistics support plan, the test and evaluation master plan, the program implementation plan, the human factors plan, and the procurement plan. It is recorded in attachment 3 of the Exhibit 300 program ~~implementation strategy and~~ baseline planning document.

**In-service decision** is the decision to accept a product or service for operational use during the solution implementation phase of the lifecycle management process. This decision allows deployment activities, such as installing products at each site and certifying them for operational use, to start.

**In-service management phase** of the lifecycle management process, is that period of time after a product or service begins operational use, and continues for as long as the product is in use.

**Indian** means any person who is a member of any Indian tribe, band, group, pueblo, or community which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs in accordance with 25 U.S.C. 1452(c) and any "Native" as defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601).

**Indian organization** means any governing body of any Indian tribe or entity established or recognized by the governing body of an Indian tribe for the purposes of 25 U.S.C., chapter 17.

**Indian-owned economic enterprise** means any Indian-owned (as determined by the Secretary of the Interior) commercial, industrial, or business activity established or organized for the

purpose of profit, provided that Indian ownership shall constitute not less than 51 percent of the enterprise.

**Indian tribe** means any Indian tribe, band, group, pueblo, or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka and Kodiak) as defined in the Alaska Native Claims Settlement Act, which is recognized by the Federal Government as eligible for services from BIA in accordance with 25 U.S.C. 1452 (c).

**Information other than cost or pricing data** is any type of information that is not required to be certified, that is necessary to determine price reasonableness or cost realism. This includes pricing, sales, or cost information, and cost or pricing data for which certification is determined inapplicable after submission.

**Integrated logistics support** is the functional discipline that plans, establishes, and maintains a full lifecycle support system for FAA products and services. This applies to the sustainment and disposal of fielded products and services as well as new investment programs. The objective is the required level of service to the end user at optimal lifecycle cost to the FAA. The logistics manager is the service-team member who plans, establishes, and maintains an integrated product support package for the lifecycle of FAA products and services.

**Integrated requirements team.** An ~~Integrated Requirements Team~~*integrated requirements team* is made up of ~~different~~ subject-matter experts from various disciplines to address air traffic system requirements and FAA goals and objectives in a disciplined forum setting. These teams are intended to provide horizontal integration across organizational lines, continuity of requirements throughout ~~the~~ mission and investment analysis ~~phases~~, and stability of requirements throughout the lifecycle.

**Interagency agreement** is a written agreement between the FAA and another Federal agency where the FAA agrees to receive from, or exchange supplies or services with, the other agency, and FAA funds are obligated.

**Interested party.** An interested party is one who:

- (1) Prior to the close of a solicitation, is an actual or prospective participant in the procurement, excluding prospective subcontractors; or
- (2) After the close of a solicitation, is an actual participant who would be next in line for award under the solicitations scheme if the protest is successful. An actual participant who is not in line for award under the solicitations scheme is ineligible to protest unless that party's complaint alleges specific improper actions or inactions by the agency that caused the party to be other than in line for award. Proposed subcontractors are not eligible to protest.

Where a contract has been awarded prior to the filing of a protest, the awardee may be considered an interested party for purposes of participating in the protest proceedings.

**Interface.** The performance, functional, and physical attributes required to exist at a common boundary.

**Interface Control Documentation.** Interface control drawing or other documentation that depicts physical, functional, and test interface characteristics between two or more related or co-functioning items.

**Interim Payment** is a form of contract financing for cost reimbursement contracts where a contractor is paid periodically during the course of a contract for allowable costs it incurs in the performance of the contract. As interim payments are issued during the course of a contract, they do not include the final payment issued after contract completion.

**Intra-agency agreement** is a written agreement between the FAA and Office of the Secretary of Transportation or another Department of Transportation operating administration where the requesting organization agrees to provide or exchange supplies or services with the FAA, and FAA funds are obligated.

**Investment analysis** of the lifecycle management process is conducted to determine the most advantageous solution to an approved mission need. It involves: (1) a market search to determine industry capability, (2) analysis of various alternative approaches for satisfying requirements, (3) and affordability assessment to determine what the FAA can afford, and (4) detailed planning for the alternative selected for implementation.

**Investment program.** A sponsored, fully funded effort initiated at the final investment decision of the lifecycle management process by the Joint Resources Council. ~~An investment program is created at~~ decision ~~the final investment decision~~ authority in response to ~~in response to an approved~~ a mission ~~priority agency~~ need. The goal of an investment program is to field a new capability that satisfies requirements performance, cost, and schedule; targets in the acquisition program baseline and benefits stated benefit targets in the Exhibit 300 program baseline business case analysis report. Typically an investment program is a separate budgeted line-item and may have multiple procurements and several projects, all managed within the single program.

**Joint Resources Council** is the FAA body responsible for making corporate level decisions.

**Learning system** is the same as lifecycle management workforce learning system (see below).

**Lifecycle.** The entire spectrum of activity for an FAA capital asset starting with the identification of need and extending through design, development, production or construction, deployment, operational use, sustaining support, and retirement and disposal.

**Lifecycle management process.** A depiction of the series of phases and decision points that comprise the lifecycle of FAA products and services.

**Lifecycle acquisition management system** is a fully coordinated set of policies, processes, and computer-based acquisition tools that guide the lifecycle management workforce through the lifecycle management process from the determination of mission needs to the procurement and lifecycle management of products and services that satisfy those needs.

**Lifecycle cost** is the total cost to the FAA of acquiring, operating, maintaining, supporting, and disposal of systems or services over their useful life. Lifecycle cost includes total investment costs, development costs, and operational costs and includes all appropriations, RE&D, F&E, and O&M.

**Lifecycle management workforce.** All individuals who play a role in the lifecycle management process. Service organizations are a major part of the lifecycle management workforce. Also included are those persons associated with strategic planning, mission analysis, investment analysis, users of investment program capabilities and products, and various other functional discipline support organizations.

**Line of business.** An informal term used to characterize the major organizations of the FAA, headed by the Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO), having major roles and responsibilities in the [Lifecycle](#)~~lifecycle~~ Acquisition Management System. They are: Air Traffic Organization, Aviation Safety, Airports, Commercial Space Transportation, ~~and~~ Civil Aviation Security, [and Regions and Centers](#). See Appendix A for [Line](#)~~line~~ of [Business](#)~~business~~ roles and responsibilities.

**Maintenance planning.** The process is conducted to determine, evolve, and establish hardware and software maintenance concepts and requirements for the lifecycle of a product.

**Maintenance support facility.** The permanent or semi-permanent real property assets required to support a product. Maintenance support facility management includes conducting studies to define types of facilities or facility improvements, locations, space needs, environmental requirements, real estate requirements and equipment.

**Market survey** is used in two different contexts in AMS. In terms of the procurement and contracting process, it refers to any method used to survey industry to obtain information and comments and to determine competition, capabilities, and estimate costs. In terms of the lifecycle management process, market surveys are an integral part of investment analysis. After initial requirements are established, market surveys are used as a basis for identifying all potential material and nonmaterial solutions to mission need.

**Memorandum of agreement (MOA)** is a written document executed by the parties, which creates a legally binding commitment and may require the obligation of funds. However, when the FAA will acquire services, equipment, personnel, or facilities from a contractor for the direct benefit or use of the FAA, a procurement contract should be used.

**Memorandum of understanding (MOU)** is a written document executed by the parties which establishes policies or procedures of mutual concern. It does not require either party to obligate funds and does not create a legally binding commitment.

**Merchant category codes (MCC)** means the codes established by the bankcard associations or banks to identify different types of businesses. Merchants select the codes best describing their business. Approving officials may limit the types of businesses where the card will be accepted by limiting the MCC available to the cardholder.

**Metrics** are measurements taken over time that monitor, assess, and communicate vital information about the results of a program or activity. Metrics are generally quantitative, but can be qualitative.

**Minority Educational Institutions.** Institutions verified by the U.S. Secretary of Education to meet the criteria set forth in 34 CFR 637.4. Also includes Hispanic-serving institutions as defined by 20 U.S.C. 1059c(b)(1).

**Mission analysis** is that part of the lifecycle management process during which continuous analytical activity is performed to evaluate the capacity of FAA assets to satisfy existing and emerging demands for services. It is conducted within the lines of business organizations of the FAA.

**Multi-year contracts** are contracts covering more than one year but not in excess of five years of requirements. Total contract quantities and annual quantities are planned for a particular level and type of funding as displayed in a current five year development plan. Each program year is annually budgeted and funded and, at the time of award, funds need only to have been appropriated for the first year. The contractor is protected against loss resulting from cancellation by contract provisions, which allows reimbursement of costs included in the cancellation ceiling.

**Multi-year funding** refers to Congressional authorization and appropriation covering more than one fiscal year. The term should not be confused with two-year or three-year funds which cover only one fiscal year's requirement but permit the Executive Branch more than one year to obligate the funds.

**NAS technical documentation.** Any set of documents that describe the technical requirements of the National Airspace System.

**Neutral** means an impartial third party, who serves as a mediator, fact finder, or arbitrator, or otherwise functions to assist the parties to resolve the issues in controversy. A neutral person may be a permanent or temporary officer or employee of the federal government or any other individual who is acceptable to the parties. A neutral person shall have no official, financial, or personal conflict of interest with respect to the issues in controversy, unless such interest is fully disclosed in writing to all parties and all parties agree that the neutral person may serve.

**No-year funding** refers to Congressional funding that does not require obligation in any specific year or years.

**Non-developmental item (NDI)** is an item that has been previously developed for use by federal, state, local, or a foreign government and for which no further development is required.

**Nonmaterial solution.** A solution to an FAA capability shortfall identified during mission or investment analysis that is operationally acceptable to users and can be implemented within approved budgets and baselines. Nonmaterial solutions typically involve regulatory change, process re-engineering, training, procedural change, or transfer of operational assets between sites.

**Nonrecurring costs** are those production costs which are generally incurred on a one time basis and include such costs as plant or equipment relocation, plant rearrangement, special tooling and special test equipment, pre-production engineering, initial spoilage and rework, and specialized workforce training.

**Operational baseline.** The approved technical documentation representing installed operational hardware and software.

**Operational readiness,** refers to the state of a fielded new system in the NAS. This state is achieved after the system is tested by the FAA at a field test site where it is demonstrated that local site personnel have the ability to fully operate and maintain the new system.

**Operational suitability.** The capability of a product to be satisfactorily integrated and employed for field use, considering such factors as compatibility, reliability, human performance factors, maintenance and logistics support, safety, and training. The term also refers to the actual degree to which the product satisfies these parameters.

**Other transaction.** Transactions, as referenced in Public Law 104-264, October 9, 1996, which do not fall into the category of procurement contracts, grants, or cooperative agreements.

**Owners.** Within context of the Air Traffic Organization, owners of the FAA are the President, Congress, flying public, and American taxpayers.

**Packaging, handling, storage and transportation.** The resources, processes, procedures, design considerations, and methods to ensure that all subsystem, equipment, and support items are preserved, packaged, handled, and transported properly. Included are environmental considerations and equipment preservation requirements for short and long term storage and transportability.

**Performance.** A quantitative measure characterizing a physical or functional attribute relating to the execution of an operation or function. Performance attributes include quantity (how many or how much), quality (how well), coverage (how much area, how far), timeliness (how responsive, how frequent), and readiness (availability, mission/operational readiness). Performance is an attribute for all systems, people, products and processes including those for development, production, verification, deployment, operations, support, training and disposal. Thus, supportability parameters, manufacturing process variability, reliability and so forth, are all performance measures.

**Performance parameters** are those mission-critical performance and lifecycle supportability criteria contained in the ~~Program Requirements attachment to the Exhibit 300~~ program

~~baseline~~requirements document. They represent the sponsoring organization's translation of the capability shortfall in ~~the service-level mission~~ an ~~need assessment~~enterprise architecture roadmap into critical factors the selected solution must contain in its eventual operational state to satisfy the user's needs.

**Personnel security.** The standards and procedures utilized to determine and document that the employment or retention in employment of an individual will promote the efficiency of the service and is clearly consistent with the interests of the national security.

**Prescreening.** The evaluation of case files for impacts on safety, ATC services, and other intangible benefits, as well as cost/benefits implications, to determine if the proposed change should be implemented.

**Price** equals cost plus any fee or profit involved in the procurement of a product or service.

**Primary engineer or principal consultant** is a firm which is held responsible for the overall performance of the services, including that which is accomplished by others under separate or special service contracts.

**Procurement strategy meeting** is a meeting of organizations with vested interests in the contemplated procurement. The purpose of this meeting is to reach a consensus on the planned course of the acquisition and to obtain the necessary approvals to proceed.

**Program requirements** ~~-document~~ A formal attachment to the Exhibit 300 program baseline. It establishes the operational framework and requirements of the line of business with a mission need. It translates mission need into top-level performance, supportability, and benefit requirements that should be satisfied by the ~~final~~-fielded capability. It is prepared in the concept and requirements definition phase of the lifecycle management process.

**Product baseline** is the initially approved documentation describing all of the necessary functional and physical characteristics of the configuration item and the selected functional and physical characteristics designated for production acceptance testing and tests necessary for support of the configuration item. In addition to this documentation, the product baseline of a configuration item may consist of the actual equipment and software.

**Product Team (PT) or Service Team (ST)** - A team with a mission, resources, leader, and cross-functional membership, which executes an element of a service organization's mission.

**Program decision-making.** In general, resource decision-making in the lifecycle management process is at the corporate level and program decision-making is within service organization.

**Protest** is a written, timely objection submitted by a protester to an FAA screening information request or contract award.

**Protester** is a prospective offeror whose direct economic interest would be affected by the award or failure to award an FAA contract, or an actual offeror with a reasonable chance to receive award of an FAA contract.

**Real Property** is defined as:

(1) Any interest in land, together with the improvements, structures, and fixtures located thereon (including prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers with or without undercarriages), and appurtenances thereto, under the control of any Federal agency, except-

(a) The public domain;

(b) Lands reserved or dedicated for national forest or national park purposes;

(c) Minerals in lands or portions of lands withdrawn or reserved from the public domain that the Secretary of the Interior determines are suitable for disposition under the public land mining and mineral leasing laws;

(d) Lands withdrawn or reserved from the public domain but not including lands or portions of lands so withdrawn or reserved that the Secretary of the Interior, with the concurrence of the Administrator of General Services, determines are not suitable for return to the public domain for disposition under the general public land laws because such lands are substantially changed in character by improvements or otherwise; and

(e) Crops when designated by such agency for disposition by severance and removal from the land.

(2) Improvements of any kind, structures, and fixtures under the control of any Federal agency when designated by such agency for disposition without the underlying land (including such as may be located on the public domain, on lands withdrawn or reserved from the public domain, on lands reserved or dedicated for national forest or national park purposes, or on lands that are not owned by the United States) excluding, however, prefabricated movable structures, such as Butler-type storage warehouses and Quonset huts, and house trailers (with or without undercarriages).

(3) Standing timber and embedded gravel, sand, or stone under the control of any Federal agency, whether designated by such agency for disposition with the land or by severance and removal from the land, excluding timber felled, and gravel, sand, or stone excavated by or for the Government prior to disposition.

**Record drawings** are drawings submitted by a contractor or subcontractor at any tier to show the construction of a particular structure or work as actually completed under the contract.

**Recurring costs** are production costs that vary with the quantity being produced, such as labor and materials.

**Release.** The designation by the originating activity that a document or software version is approved by an appropriate authority and is subject to configuration change management procedures.

**Requirements.** Conditions or capabilities that must be met or exceeded by a ~~system~~ **product** or component to satisfy agency needs. Requirements form the basis for a contract, standard, specification, or other formally imposed document.

**Resources.** As it applies to contractor personnel security refers to FAA resources including a physical plant, information databases including hardware and software, as well as manual records pertaining to agency mission or personnel.

**Screening** is the process of evaluating offeror submittals to determine either which offerors/products are qualified to meet a specific type of supply or service, which offerors are most likely to receive award, or which offerors provide the best value to the FAA.

**Screening decision** is the narrowing of the number of offerors participating in the source selection process to only those offerors most likely to receive award.

**Screening information request** is any request made by the FAA for documentation, information, or offer for the purpose of screening to determine which offeror provides the best value solution for a particular procurement.

**Second-Level Engineering Support.** This work comprises engineering support of the National Airspace System infrastructure and includes defining system performance standards, developing and publishing procedures, designing system improvements, and providing support to first-level technical support personnel.

**Selection decision** is the determination to make an award by the source selection official to the offeror providing the best value to the FAA.

**Service-disabled veteran-owned small business** is a small business concern that is 51% owned and controlled by a service disabled veteran(s).

**Service organization.** A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

**Simplified purchases** are those products or services of any nature that are smaller in dollar value, less complex, shorter term, routine, or are commercially available and are generally purchased on a fixed price basis.

**Single-source contracting** is to award a contract, without competition, to a single supplier of products or services.

**Small business** is a business, including its affiliates, that is independently owned and operated and not dominant in producing the products or performing the services being purchased, and one that qualifies as a small business under the federal government's criteria and North American Industry System Classification Codes size standards.

**Small business set-aside** is the reservation of an acquisition exclusively for participation by small businesses.

**Small disadvantaged business** means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

**Small Socially and Economically Disadvantaged Business** means a small business concern that is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization. The contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or any other individual found to be disadvantaged by the FAA. The contractor shall presume that socially and economically disadvantaged entities also include Indian tribes and Native Hawaiian Organizations.

**Socially disadvantaged individuals** - individuals who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their qualities as individuals.

**Solution implementation phase** is the phase of the lifecycle management process that begins after the Joint Resources investment Council decision authority selects a solution and establishes an investment program. It ends when the new capability goes into service. This phase is led by the service organization assigned by the JRC IDA at the investment decision.

**Solution providers** An organization (e.g., service organization or a regional office implementing a construction program) that has the responsibility for providing assets to satisfy National Airspace requirements.

**Specification.** A document that explicitly states essential technical attributes/requirements for product and procedures to determine that the product's performance meets its requirements/attributes.

**Standardization** is the practice of acquiring parts, components, subsystems, or systems with common design or functional characteristics to obtain economies in ownership costs.

**Strategic Sourcing.** The collaborative and structured process of critically analyzing an organization's spending and using this information to make business decisions about acquiring products and services more effectively and efficiently.

**Supply**, as used in the context of mission analysis, is the existing or projected supply of services to its customers, based on information from field organizations that operate and maintain the NAS, from the aviation community, and from the enterprise architecture.

**Supply support.** All management actions, procedures, and techniques used to determine requirements that acquire, catalog, track, receive, store, transfer, issue, and dispose of items of supply. This includes provisioning for initial support, maintaining asset visibility for financial accountability, and replenishing spares.

**Supportability.** - The degree to which product design and planned logistics resources meet product use requirements.

**Support Equipment.** All equipment (mobile or fixed) required to support maintenance of a product. It includes associated multi-use end items, ground-handling and maintenance equipment, tools, metrology and calibration equipment, test equipment, and automatic test equipment. It includes the procurement of integrated logistics support necessary to maintain the support equipment itself. Operational engineering support systems and facilities are also integral parts of the lifecycle support equipment.

**Sustainment.** Those activities associated with keeping fielded products operational and maintained. Also applies to the planning, programming and budgeting for fielded products, referred to as sustainment funding.

**Technical data.** Recorded information regardless of form or character (such as manuals, drawings and operational test procedures) of a scientific or technical nature required to operate and maintain a product over its lifecycle. While computer programs and related software are not

technical data, documentation of these programs and related software are technical data. Also excluded is financial data or other information related to contract administration.

**Technical leveling** is the act of helping an offeror to bring its proposal/offer up to the level of other proposals/offers through successive rounds of communication, such as by pointing out weaknesses resulting from the offeror's lack of diligence, competence, or inventiveness in preparing his proposal.

**Technical transfusion** is the FAA's disclosure of technical information from one submittal that results in the improvement of another submittal.

**Technical opportunity.** A technological opportunity exists when a product or capability not currently used in the NAS has the potential to enable the FAA to perform its mission more safely, efficiently or effectively.

**Termination for convenience** is a procedure that may apply to any FAA contract, including multi-year contracts. As contrasted with cancellation, termination can be effected at any time during the life of the contract (cancellation is effected between fiscal years) and can be for the total quantity or a partial quantity (whereas cancellation must be for all subsequent fiscal year quantities).

**Termination liability** is the maximum cost the FAA would incur if a contract is terminated. In the case of a multi-year contract terminated before completion of the current fiscal year's deliveries, termination liability would include an amount for both current year termination charges and out year cancellation charges.

**Termination liability funding** refers to obligating contract funds to cover contractor expenditures plus termination liability, but not the total cost of the completed end items.

**Total Estimated Potential Value.** The sum of the initial award, unexercised options, the value of any indefinite delivery/indefinite quantity (IDIQ) contract line items (CLINS), estimates for unpriced CLINS, such as preplanned product improvements, estimated value of partially priced items, and any other items the Contracting Officer deems relevant to establishing potential total contract value. The potential contract value should exclude anticipated change orders, pre-planned product improvements which are not established as CLINS, and any other anticipated actions not included in the written contract. Where duplicative or alternative options are established (i.e., if option 1 is exercised, option 2 will not be exercised) the Contracting Officer should include only the value which reflects the highest priced option. For incentive contracts, the maximum liability of the Government should be included in the potential contract value. For IDIQ contracts, the total contract value is the stated maximum amount the total of issued delivery orders cannot exceed.

**Training, training support, and personnel skills.** The analysis, design, development, implementation, and evaluation of training requirements to operate and maintain the product. This includes: conducting needs analyses; job and task analyses; delivering individual and team

training; resident and nonresident training; on-the-job training; job aids; and logistic support planning for training aids and training installations.

**Unauthorized commitment** is an agreement entered into by a representative of the FAA who does not have the authority to obligate the FAA to spend appropriated funds.

**Unit.** One of a quantity of items (products, parts, etc.)

**User.** Internal FAA user of a product or service, such as Air Traffic Controllers or maintenance technicians.

**Validation.** Confirmation that an end product or end-product component will fulfill its intended purpose when placed in its intended environment. The methods employed to accomplish validation are applied to selected work products as well as to the end product and end-product components. Work products should be selected on the basis of which are the best predictors of how well the end product and end-product component will satisfy the intended purpose and user needs. Validation may address all aspects of an end product in any of its intended environments, such as operation, training, manufacturing, maintenance, or support services.

**Verification.** Confirmation that selected work products meet their specified requirements. This includes verification of the end product (system, service, facility, or operational change) and intermediate work products against all applicable requirements. Verification is inherently an incremental process since it occurs throughout the development of the end product and work products - beginning with initial requirements, progressing through subsequent changes, and culminating in verification of the completed end product.

**Version.** (1) One of several sequentially created configurations of a data product. (2) A supplementary identifier used to distinguish a changed body or set of computer-based data (software) from the previous configuration with the same primary identifier. Version identifiers are usually associated with data (such as files, data bases and software) used by, or maintained in, computers.

**Very small business** is a business whose size is no greater than 50 percent of the numerical size standard applicable to the North American Industry System Classification Codes assigned to a contracting opportunity.

**Work Product:** A work product in various forms represents, defines, or directs the end product (system, service, ~~facility~~**facility**, or operational change). This can include concepts of operation, processes, plans/procedures, designs/descriptions, requirements/specifications, models/prototypes, contracts/invoices and other documents.

**Work breakdown structure.** A hierarchical decomposition of the work to be performed to accomplish an approved agency objective. It includes both internal and external work activities and each descending level represents an increasing definition of the work to be performed.

### **Section 4.1.3 : Structure and Responsibilities**

**Old Content:** Acquisition Management Policy:

#### **Section 4.1.3 : Structure and Responsibilities**

FAA configuration management has an enterprise-wide, multi-layer structure with each layer managing an increasing level of detail. The specific responsibilities of each layer are as follows:

FAA Configuration Management Authority:

- Coordinates the development and establishment of FAA configuration management policy, processes, and guidance;
- Assists lines of business, staff offices, service organizations, service areas, and other solution providers with development of CCB charters and operating procedures;
- Provides training, facilities, and electronic tools to document, monitor, and report configuration management information;
- Maintains a mechanism for assigning hardware names, asset tags, and identifiers for systems, interface documentation, and system documentation;
- Make accessible the NAS-MD-001, NAS Master Configuration Index Subsystem Baseline Configuration and Documentation Listing, using data available from the CM information management system. All configuration control boards follow the direction of the FAA Configuration Management Authority regarding the type, content, and availability of information in the information management system to ensure validity of data in NAS-MD-001.

A cross-functional team comprised of senior managers advises the Configuration Management Authority, serves as forum for addressing and resolving issues, and assists in the implementation of configuration management policy and solutions.

NAS Configuration Control Board:

- Controls changes to NAS systems and associated documentation not assigned to a lower-level CCB or not identified for control by the Joint Resources Council;
- Baselines Interface Requirements Documents and controls non-FAA or non-baseline system interfaces to the NAS;
- Approves service organization, service area, and other solution provider CCB charters and updates;
- Resolves problems regarding NAS system requirements among service organizations or other solution providers;
- Approves changes to NAS technical documentation and ensures traceability of requirements from the NAS level to the system and subsystem level;
- Manages changes to the Exhibit 300 Final Program Requirements attachment, and notifies the Joint Resources Council if those changes affect cost, schedule, or performance.

Service Organization Configuration Control Boards:

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- Approve or disapprove proposed changes to configuration items under their purview for the lifecycle of the configuration item;
- Ensure all changes have been fully analyzed and coordinated with all organizations affected by the change;
- Refer to the NAS Configuration Control Board proposed changes that exceed their approval authority;
- Establish functional, allocated, product, and operational baselines for all NAS systems;
- Manage the site configurations of FAA facilities in accordance with FAA-STD-058, FAA Standard Facility Configuration.

#### Service-Area Configuration Control Boards:

- Control changes to facility equipment layout drawings, critical power panel designations, and unique regional equipment, as identified in their charters;
- Regularly validate the accuracy of baselined facility space and power panel documentation.

The service-area configuration management plan identifies the facilities that are subject to verification and audit and specifies the audit interval. The plan also documents the configuration management program, including the methodology and processes used to accomplish service-area configuration management tasks.

#### Non-NAS Information Technology Configuration Control Board:

- Manages non-NAS information technology systems and associated documentation not assigned to a lower-level CCB or not identified for control by the Joint Resources Council except for data exchange standards;
- Baselines Interface Requirements Documents to non-NAS systems;
- Approves line of business staff office and other solution provider CCB charters and updates;
- Approves changes to non-NAS information technology technical documentation and ensures the traceability of requirements;
- Baselines final program requirements for programs that require an Exhibit 300 or the specification or requirements document for those that do not.

#### Non-NAS Line of Business Staff Office or Solution Provider Configuration Control Boards:

- Approve or disapprove proposed changes to configuration items under their purview for the lifecycle of the items;
- Ensures all changes are fully analyzed and coordinated with all organizations affected by the change;
- Refers changes to the Non-NAS IT CCB proposed changes that exceed their approval authority;
- Establish functional, allocated, product and operational baselines for all non-NAS systems. This includes establishing and documenting site configurations, including as-

built equipment layout drawings and critical power panel designations, and creating baseline documentation for FAA information technology facilities.

NAS and Non-NAS Information Technology Acquisition-Level Configuration Management:

Service organizations, LOB staff offices, and other solution providers charged with providing solutions to Enterprise Architecture requirements do the following:

- Establish, implement, and maintain configuration management plan(s) that document the configuration management program, including the methodology and processes used to accomplish configuration management tasks;
- Include requirements for configuration management planning, process, procedures and products in all acquisition contracts;
- Document transition plans and activities for field organizations; and
- Manage the lifecycle of configuration items and associated baseline documentation, which may include training material, courseware, and logistics support documentation assigned to them.

**New Content:** Acquisition Management Policy:

**Section 4.1.3 : Structure and Responsibilities**

FAA configuration management has an enterprise-wide, multi-layer structure with each layer managing an increasing level of detail. The specific responsibilities of each layer are as follows:

FAA Configuration Management Authority:

- Coordinates the development and establishment of FAA configuration management policy, processes, and guidance;
- Assists lines of business, staff offices, service organizations, service areas, and other solution providers with development of CCB charters and operating procedures;
- Provides training, facilities, and electronic tools to document, monitor, and report configuration management information;
- Maintains a mechanism for assigning hardware names, asset tags, and identifiers for systems, interface documentation, and system documentation;
- Make accessible the NAS-MD-001, NAS Master Configuration Index Subsystem Baseline Configuration and Documentation Listing, using data available from the CM information management system. All configuration control boards follow the direction of the FAA Configuration Management Authority regarding the type, content, and availability of information in the information management system to ensure validity of data in NAS-MD-001.

A cross-functional team comprised of senior managers advises the Configuration Management Authority, serves as forum for addressing and resolving issues, and assists in the implementation of configuration management policy and solutions.

NAS Configuration Control Board:

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- Controls changes to NAS systems and associated documentation not assigned to a lower-level CCB or not identified for control by the Joint Resources Council;
- Baselines Interface Requirements Documents and controls non-FAA or non-baseline system interfaces to the NAS;
- Approves service organization, service area, and other solution provider CCB charters and updates;
- Resolves problems regarding NAS system requirements among service organizations or other solution providers;
- Approves changes to NAS technical documentation and ensures traceability of requirements from the NAS level to the system and subsystem level;
- Manages changes to the final program requirements document, and notifies the investment decision authority if those changes affect cost, schedule, or performance.

#### Service Organization Configuration Control Boards:

- Approve or disapprove proposed changes to configuration items under their purview for the lifecycle of the configuration item;
- Ensure all changes have been fully analyzed and coordinated with all organizations affected by the change;
- Refer to the NAS Configuration Control Board proposed changes that exceed their approval authority;
- Establish functional, allocated, product, and operational baselines for all NAS systems;
- Manage the site configurations of FAA facilities in accordance with FAA-STD-058, FAA Standard Facility Configuration.

#### Service-Area Configuration Control Boards:

- Control changes to facility equipment layout drawings, critical power panel designations, and unique regional equipment, as identified in their charters;
- Regularly validate the accuracy of baselined facility space and power panel documentation.

The service-area configuration management plan identifies the facilities that are subject to verification and audit and specifies the audit interval. The plan also documents the configuration management program, including the methodology and processes used to accomplish service-area configuration management tasks.

#### Non-NAS Information Technology Configuration Control Board:

- Manages non-NAS information technology systems and associated documentation not assigned to a lower-level CCB or not identified for control by the Joint Resources Council except for data exchange standards;
- Baselines Interface Requirements Documents to non-NAS systems;
- Approves line of business staff office and other solution provider CCB charters and updates;

- Approves changes to non-NAS information technology technical documentation and ensures the traceability of requirements;
- Baselines the final program requirements document or specification.

Non-NAS Line of Business Staff Office or Solution Provider Configuration Control Boards:

- Approve or disapprove proposed changes to configuration items under their purview for the lifecycle of the items;
- Ensures all changes are fully analyzed and coordinated with all organizations affected by the change;
- Refers changes to the Non-NAS IT CCB proposed changes that exceed their approval authority;
- Establish functional, allocated, product and operational baselines for all non-NAS systems. This includes establishing and documenting site configurations, including as-built equipment layout drawings and critical power panel designations, and creating baseline documentation for FAA information technology facilities.

NAS and Non-NAS Information Technology Acquisition-Level Configuration Management:

Service organizations, LOB staff offices, and other solution providers charged with providing solutions to Enterprise Architecture requirements do the following:

- Establish, implement, and maintain configuration management plan(s) that document the configuration management program, including the methodology and processes used to accomplish configuration management tasks;
- Include requirements for configuration management planning, process, procedures and products in all acquisition contracts;
- Document transition plans and activities for field organizations; and
- Manage the lifecycle of configuration items and associated baseline documentation, which may include training material, courseware, and logistics support documentation assigned to them.

**Red Line Content:** Acquisition Management Policy:

### **Section 4.1.3 : Structure and Responsibilities**

FAA configuration management has an enterprise-wide, multi-layer structure with each layer managing an increasing level of detail. The specific responsibilities of each layer are as follows:

FAA Configuration Management Authority:

- Coordinates the development and establishment of FAA configuration management policy, processes, and guidance;
- Assists lines of business, staff offices, service organizations, service areas, and other solution providers with development of CCB charters and operating procedures;
- Provides training, facilities, and electronic tools to document, monitor, and report configuration management information;

- Maintains a mechanism for assigning hardware names, asset tags, and identifiers for systems, interface documentation, and system documentation;
- Make accessible the NAS-MD-001, NAS Master Configuration Index Subsystem Baseline Configuration and Documentation Listing, using data available from the CM information management system. All configuration control boards follow the direction of the FAA Configuration Management Authority regarding the type, content, and availability of information in the information management system to ensure validity of data in NAS-MD-001.

A cross-functional team comprised of senior managers advises the Configuration Management Authority, serves as forum for addressing and resolving issues, and assists in the implementation of configuration management policy and solutions.

#### NAS Configuration Control Board:

- Controls changes to NAS systems and associated documentation not assigned to a lower-level CCB or not identified for control by the Joint Resources Council;
- Baselines Interface Requirements Documents and controls non-FAA or non-baseline system interfaces to the NAS;
- Approves service organization, service area, and other solution provider CCB charters and updates;
- Resolves problems regarding NAS system requirements among service organizations or other solution providers;
- Approves changes to NAS technical documentation and ensures traceability of requirements from the NAS level to the system and subsystem level;
- Manages changes to the ~~Exhibit 300 Final~~ final Program Requirements attachment program requirements document, and notifies the ~~Joint~~ investment Resources Council decision authority if those changes affect cost, schedule, or performance.

#### Service Organization Configuration Control Boards:

- Approve or disapprove proposed changes to configuration items under their purview for the lifecycle of the configuration item;
- Ensure all changes have been fully analyzed and coordinated with all organizations affected by the change;
- Refer to the NAS Configuration Control Board proposed changes that exceed their approval authority;
- Establish functional, allocated, product, and operational baselines for all NAS systems;
- Manage the site configurations of FAA facilities in accordance with FAA-STD-058, FAA Standard Facility Configuration.

#### Service-Area Configuration Control Boards:

- Control changes to facility equipment layout drawings, critical power panel designations, and unique regional equipment, as identified in their charters;

- Regularly validate the accuracy of baselined facility space and power panel documentation.

The service-area configuration management plan identifies the facilities that are subject to verification and audit and specifies the audit interval. The plan also documents the configuration management program, including the methodology and processes used to accomplish service-area configuration management tasks.

#### Non-NAS Information Technology Configuration Control Board:

- Manages non-NAS information technology systems and associated documentation not assigned to a lower-level CCB or not identified for control by the Joint Resources Council except for data exchange standards;
- Baselines Interface Requirements Documents to non-NAS systems;
- Approves line of business staff office and other solution provider CCB charters and updates;
- Approves changes to non-NAS information technology technical documentation and ensures the traceability of requirements;
- Baselines the final program requirements ~~for programs that require an Exhibit 300 document~~ or ~~the specification or requirements document for those that do not.~~

#### Non-NAS Line of Business Staff Office or Solution Provider Configuration Control Boards:

- Approve or disapprove proposed changes to configuration items under their purview for the lifecycle of the items;
- Ensures all changes are fully analyzed and coordinated with all organizations affected by the change;
- Refers changes to the Non-NAS IT CCB proposed changes that exceed their approval authority;
- Establish functional, allocated, product and operational baselines for all non-NAS systems. This includes establishing and documenting site configurations, including as-built equipment layout drawings and critical power panel designations, and creating baseline documentation for FAA information technology facilities.

#### NAS and Non-NAS Information Technology Acquisition-Level Configuration Management:

Service organizations, LOB staff offices, and other solution providers charged with providing solutions to Enterprise Architecture requirements do the following:

- Establish, implement, and maintain configuration management plan(s) that document the configuration management program, including the methodology and processes used to accomplish configuration management tasks;
- Include requirements for configuration management planning, process, procedures and products in all acquisition contracts;
- Document transition plans and activities for field organizations; and

- Manage the lifecycle of configuration items and associated baseline documentation, which may include training material, courseware, and logistics support documentation assigned to them.

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#### **Section 4.1.4 : Activities**

**Old Content:** Acquisition Management Policy:

#### **Section 4.1.4 : Activities**

FAA lines of business, staff offices, service organizations, service areas, and other solution providers develop the infrastructure, processes, and documentation necessary to conduct the following configuration management activities:

**Planning and Management:** Plan, coordinate, document, and manage all tasks necessary to manage the configuration of assigned Enterprise Architecture products throughout all phases of the lifecycle management process. A configuration management plan formalizes processes and procedures and roles and responsibilities, and ensures continuity of configuration management practices at all levels of management.

**Configuration Identification:** Identify the configuration items of the total product and develop documentation to define each. This activity includes development of a top-down configuration management structure for the product, and the assignment of unique identifiers for the units and groups of units in the product. Configuration identification and product information is maintained and be readily available to all FAA decision-makers.

**Baseline Management:** Establish and maintain a configuration baseline that represents technical aspects of approved product requirements. Baselined documentation is maintained by the appropriate line of business program office, staff office, or service organization, and is accessible in a secure environment through the program support library.

**Configuration Change Management:** Identify, document, coordinate, evaluate, and adjudicate proposed changes to a configuration baseline. Approved changes are documented, implemented, verified, and tracked to ensure incorporation into all impacted assets and their support infrastructure.

**Configuration Status Accounting:** Capture, store, and access the configuration information needed to manage products and product information. Configuration information must be electronically available for use by decision-makers over the lifecycle of the asset.

**Configuration Verification and Audit:** Periodically audit operational products to ensure consistency between the product and its baseline documentation. This activity includes verification of facility baselines, the incorporation of approved modifications, and product audits after commissioning.

Information/Data Management: Manage configuration data and information according to requirements in FAA Order 1375.1, Information/Data Management Policy.

**New Content:** Acquisition Management Policy:  
**Section 4.1.4 : Activities**

FAA lines of business, staff offices, service organizations, service areas, and other solution providers develop the infrastructure, processes, and documentation necessary to conduct the following configuration management activities:

**Planning and Management:** Plan, coordinate, document, and manage all tasks necessary to manage the configuration of assigned enterprise architecture products throughout all phases of the lifecycle management process. A configuration management plan formalizes processes and procedures and roles and responsibilities, and ensures continuity of configuration management practices at all levels of management.

**Configuration Identification:** Identify the configuration items of the total product and develop documentation to define each. This activity includes development of a top-down configuration management structure for the product, and the assignment of unique identifiers for the units and groups of units in the product. Configuration identification and product information is maintained and be readily available to all FAA decision-makers.

**Baseline Management:** Establish and maintain a configuration baseline that represents technical aspects of approved product requirements. Baselined documentation is maintained by the appropriate line of business program office, staff office, or service organization, and is accessible in a secure environment through the program support library.

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Information/Data Management: Manage configuration data and information according to requirements in FAA Order 1375.1, Information/Data Management Policy.

**Red Line Content:** Acquisition Management Policy:  
**Section 4.1.4 : Activities**

FAA lines of business, staff offices, service organizations, service areas, and other solution providers develop the infrastructure, processes, and documentation necessary to conduct the following configuration management activities:

**Planning and Management:** Plan, coordinate, document, and manage all tasks necessary to manage the configuration of assigned ~~Enterprise Architecture~~*enterprise architecture* products throughout all phases of the lifecycle management process. A configuration management plan formalizes processes and procedures and roles and responsibilities, and ensures continuity of configuration management practices at all levels of management.

**Configuration Identification:** Identify the configuration items of the total product and develop documentation to define each. This activity includes development of a top-down configuration management structure for the product, and the assignment of unique identifiers for the units and groups of units in the product. Configuration identification and product information is maintained and be readily available to all FAA decision-makers.

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**Configuration Status Accounting:** Capture, store, and access the configuration information needed to manage products and product information. Configuration information must be electronically available for use by decision-makers over the lifecycle of the asset.

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### **Section 4.3.1 : Principles**

**Old Content:** Acquisition Management Policy:

#### **Section 4.3.1 : Principles**

Integrated logistics support is the critical functional discipline that plans, establishes, and maintains an integrated logistics support system for the lifecycle all FAA products and services.

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The objective is to provide the required level of service to the end user at optimal lifecycle cost to the FAA for new investment programs and the sustainment of fielded products and services.

**Principles include:**

*Centralized management of integrated logistics policy and guidance* with the Vice President of Technical Operations serving as the key executive and the Associate Administrator for Regions and Centers providing support

*Logistics managers within each service team* responsible for defining, obtaining, and managing integrated logistics support for service-team products and services over their lifecycle

*Collaborative logistics decision-making based on business case analysis results* to achieve high performance and best value for the agency

*Integration of operations and support requirements early in the program lifecycle* using the Program Requirements attachment to the Exhibit 300 Program Baseline

*Long-term strategic partnerships with suppliers and contractors* to achieve full lifecycle support for operational assets

*Managing and integrating supply support across the agency* to improve efficiency, save money, and minimize ownership costs

*Continuously measuring logistics performance against key organizational measures* to drive corporate decisions and tactically manage logistics services

*Training and certification of logistics specialists* so the best logistics systems can be determined, implemented, and operated over the service life of operational assets

*Developing and using logistics databases and tools* to manage assets, track outages and service delays, control inventory, and identify opportunities for improving logistics support

Integrated logistics support is the critical functional discipline that plans, establishes, and maintains an integrated logistics support system for the lifecycle all FAA products and services. The objective is to provide the required level of service to the end user at optimal lifecycle cost to the FAA for new investment programs and the sustainment of fielded products and services.

**Principles include:**

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***Managing and integrating supply support across the agency*** to improve efficiency, save money, and minimize ownership costs

***Continuously measuring logistics performance against key organizational measures*** to drive corporate decisions and tactically manage logistics services

***Training and certification of logistics specialists*** so the best logistics systems can be determined, implemented, and operated over the service life of operational assets

***Developing and using logistics databases and tools*** to manage assets, track outages and service delays, control inventory, and identify opportunities for improving logistics support

Integrated logistics support is the critical functional discipline that plans, establishes, and maintains an integrated logistics support system for the lifecycle all FAA products and services. The objective is to provide the required level of service to the end user at optimal lifecycle cost to the FAA for new investment programs and the sustainment of fielded products and services.

**Principles include:**

***Centralized management of integrated logistics policy and guidance*** with the Vice President of Technical Operations serving as the key executive and the Associate Administrator for Regions and Centers providing support

***Logistics managers within each service team*** responsible for defining, obtaining, and managing integrated logistics support for service-team products and services over their lifecycle

***Collaborative logistics decision-making based on business case analysis results*** to achieve high performance and best value for the agency

***Integration of operations and support requirements early in the program lifecycle*** using the program requirements document

*Long-term strategic partnerships with suppliers and contractors* to achieve full lifecycle support for operational assets

*Managing and integrating supply support across the agency* to improve efficiency, save money, and minimize ownership costs

*Continuously measuring logistics performance against key organizational measures* to drive corporate decisions and tactically manage logistics services

*Training and certification of logistics specialists* so the best logistics systems can be determined, implemented, and operated over the service life of operational assets

*Developing and using logistics databases and tools* to manage assets, track outages and service delays, control inventory, and identify opportunities for improving logistics support

**New Content: Acquisition Management Policy:  
Section 4.3.1 : Principles**

Integrated logistics support is the critical functional discipline that plans, establishes, and maintains an integrated logistics support system for the lifecycle all FAA products and services. The objective is to provide the required level of service to the end user at optimal lifecycle cost to the FAA for new investment programs and the sustainment of fielded products and services.

**Principles include:**

*Centralized management of integrated logistics policy and guidance* with the Vice President of Technical Operations serving as the key executive and the Associate Administrator for Regions and Centers providing support

*Logistics managers within each service team* responsible for defining, obtaining, and managing integrated logistics support for service-team products and services over their lifecycle

*Collaborative logistics decision-making based on business case analysis results* to achieve high performance and best value for the agency

*Integration of operations and support requirements early in the program lifecycle* using the program requirements document

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*Collaborative logistics decision-making based on business case analysis results* to achieve high performance and best value for the agency

*Integration of operations and support requirements early in the program lifecycle* using the [Program Requirements attachment to the Exhibit 300 program Program Baseline requirements document](#)

*Long-term strategic partnerships with suppliers and contractors* to achieve full lifecycle support for operational assets

*Managing and integrating supply support across the agency* to improve efficiency, save money, and minimize ownership costs

*Continuously measuring logistics performance against key organizational measures* to drive corporate decisions and tactically manage logistics services

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*Developing and using logistics databases and tools* to manage assets, track outages and service delays, control inventory, and identify opportunities for improving logistics support

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#### **Section 3.2.1.2.2 : Concept and Requirements Definition**

**Old Content:** Acquisition Management Policy:

#### **Section 3.2.1.2.2 : Concept and Requirements Definition**

The service team logistics manager works with the CRD team to define preliminary logistics requirements and a maintenance concept of use for the preliminary program requirements attachment to the Exhibit 300 program baseline. Preliminary requirements are not solution-specific and do not limit the search for alternative solutions to mission need.

**New Content:** Acquisition Management Policy:

#### **Section 3.2.1.2.2 : Concept and Requirements Definition**

The service team logistics manager works with the CRD team to define preliminary logistics requirements and a maintenance concept of use for the preliminary program requirements document. Preliminary requirements are not solution-specific and do not limit the search for alternative solutions to mission need.

**Red Line Content:** Acquisition Management Policy:

#### **Section 3.2.1.2.2 : Concept and Requirements Definition**

The service team logistics manager works with the CRD team to define preliminary logistics requirements and a maintenance concept of use for the preliminary program requirements ~~attachment to the Exhibit 300 program baseline~~document. Preliminary requirements are not solution-specific and do not limit the search for alternative solutions to mission need.

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#### **Section 3.2.1.3 : Investment Analysis**

**Old Content:** Acquisition Management Policy:

#### **Section 3.2.1.3 : Investment Analysis**

The service-team logistics manager is a core member of the investment analysis team throughout initial and final investment analysis. During initial investment analysis, the logistics manager evaluates the maintenance concept of each alternative solution and reports implications to lifecycle support costs and benefits in the business case analysis report. Trade-off among RMA parameters (as lifecycle cost-reduction measures) is encouraged so long as minimum service performance thresholds are not breached.

During final investment analysis, the logistics manager:

Develops logistics elements for any screening information request issued by the service team in support of final investment analysis;

- Evaluates the logistics and support elements of contractor responses;
- Assists the investment analysis team in defining:
  - ILS-specific baseline measures for the Exhibit 300 program baseline;
  - Final logistics requirements in the program requirements attachment;
- Detailed logistics activities and milestones in the implementation strategy and planning attachment.
- Advises on preliminary disposal planning for the asset(s) under consideration for replacement;
- Identifies activities and establishes milestones for integrated logistics support elements of the In-Service Review (ISR) checklist; and
- Tracks completion of logistics support activities prerequisite to the final investment decision.  
During competitive procurements, offerors are evaluated on the suitability of their maintenance and support plans and demonstrated ability to support other fielded systems, as well as compliance with contract technical specifications.

**New Content:** Acquisition Management Policy:  
**Section 3.2.1.3 : Guidance and Principles**

For procurements not covered in a program with an implementation strategy and planning document, the following elements should be considered in planning for procurements.

**Red Line Content:** Acquisition Management Policy:  
**Section 3.2.1.3 : ~~Investment Analysis~~Guidance and Principles**

The service-team logistics manager is a core member of the investment analysis team throughout initial and final investment analysis. During initial investment analysis, the logistics manager evaluates the maintenance concept of each alternative solution and reports implications to lifecycle support costs and benefits in the business case analysis report. Trade-off among RMA parameters (as lifecycle cost-reduction measures) is encouraged so long as minimum service performance thresholds are not breached.

During final investment analysis, the logistics manager:

Develops logistics elements for any screening information request issued by the service team in support of final investment analysis;

- Evaluates the logistics and support elements of contractor responses;
- Assists the investment analysis team in defining:

- ILS-specific baseline measures for the ~~Exhibit 300~~ **acquisition** program baseline;
  - Final logistics requirements in the program requirements ~~attachment~~ **document**;
  - Detailed logistics activities and milestones in the implementation strategy and planning attachment.
  - Advises on preliminary disposal planning for the asset(s) under consideration for replacement;
  - Identifies activities and establishes milestones for integrated logistics support elements of the In-Service Review (ISR) checklist; and
  - Tracks completion of logistics support activities prerequisite to the final investment decision.
- During competitive procurements, offerors are evaluated on the suitability of their maintenance and support plans and demonstrated ability to support other fielded systems, as well as compliance with contract technical specifications.

#### **Section 4.4 : Test and Evaluation**

**Old Content:** Acquisition Management Policy:

#### **Section 4.4 : Test and Evaluation**

Test & Evaluation is conducted in accordance with the AMS Test and Evaluation Process Guidelines found on FAST. The objectives are to:

- Provide essential information in support of decision-making;
- Provide essential information for assessing technical and investment risks;
- Verify the attainment of technical performance specifications and objectives; and
- Verify and validate that investment products are operationally effective and suitable for the intended use.

**New Content:** Acquisition Management Policy:

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**Red Line Content:** Acquisition Management Policy:

#### **Section 4.4 : Test and Evaluation**

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- Verify and validate that investment products are operationally effective and suitable for the intended use.

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### **Section 3.2.1.3.8 : Single-Source Approval**

**Old Content:** Acquisition Management Policy:

#### **Section 3.2.1.3.8 : Single-Source Approval**

The service organization determines whether the procurement should be conducted on a competitive or single source basis. The rationale for the single source procurement should be included in Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning or the procurement plan. If an Exhibit 300 Program Baseline and attachments are not required, and the service organization determines that based on the complexity of the procurement a procurement plan will be established, the procurement plan should include the justification for the single-source decision. Approval of Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning or the procurement plan constitutes approval of a single-source procurement; no further approval or documentation is necessary.

**New Content:** Acquisition Management Policy:

#### **Section 3.2.1.3.8 : Single-Source Approval**

The service organization determines whether the procurement should be conducted on a competitive or single source basis. The rationale for the single source procurement should be included in the implementation strategy and planning document or the procurement plan. If an implementation strategy and planning document is not required and the service organization determines that based on the complexity of the procurement a procurement plan will be established, the procurement plan should include the justification for the single-source decision. Approval of the implementation strategy and planning document or the procurement plan constitutes approval of a single-source procurement; no further approval or documentation is necessary.

**Red Line Content:** Acquisition Management Policy:

#### **Section 3.2.1.3.8 : Single-Source ~~Approval~~ Approval**

The service organization determines whether the procurement should be conducted on a competitive or single source basis. The rationale for the single source procurement should be included in ~~Exhibit 300 Program Baseline Attachment 3:~~the Implementation Strategy ~~and Planning~~implementation strategy and ~~the~~planning document or the procurement plan. If an ~~Exhibit 300~~implementation ~~Program~~strategy ~~Baseline~~ and ~~attachments~~planning document ~~are~~is

not required; and the service organization determines that based on the complexity of the procurement a procurement plan will be established, the procurement plan should include the justification for the single-source decision. Approval of [Exhibit 300 Program Baseline Attachment 3: ~~the Implementation Strategy~~implementation strategy](#) and [Planningplanning document](#) or the procurement plan constitutes approval of a single-source procurement; no further approval or documentation is necessary.

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#### **Section 4.4.2 : Solution Implementation**

**Old Content:** Acquisition Management Policy:

#### **Section 4.4.2 : Solution Implementation**

All system/software and facility investment programs follow a structured, disciplined T&E process appropriate to the product or facility being tested. Initially, test and evaluation in solution implementation assesses potential operational, safety, and security risks and identifies opportunities for risk mitigation. Later it examines operational readiness and supplies data to decision-makers in support of the production and in-service decisions.

A typical T&E program consists of developmental test, operational test, site acceptance testing, and field familiarization testing, as well as independent operational test and evaluation for designated programs (see Section 4.5). Test and Evaluation of commercial and non-developmental items is tailored to account for test results already available from vendors. For example, an operational capability demonstration may reduce system test requirements. As part of field familiarization testing, all systems/software products normally require site operational testing and information security testing to support the site operational readiness decision.

**New Content:** Acquisition Management Policy:

#### **Section 4.4.2 : Solution Implementation**

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### **Section 4.4.3 : In-Service Management**

**Old Content:** Acquisition Management Policy:

#### **Section 4.4.3 : In-Service Management**

The Test and Evaluation Gold Standard and Implementation Guide defines standards for the development and implementation of all modifications to the National Airspace System during in-service management. It includes a standardized testing process that lists the phases and detailed activities to be addressed. The Gold Standard process as designed will support/ensure that the activity of safety risk management is address in the FAA.

The Test and Evaluation Gold Standard Matrix is used as a management tool to record development and test status, improve internal and external communications, and support risk assessment using best business practices. This document is applicable to all NAS modifications across all FAA organizations.

**New Content:** Acquisition Management Policy:

#### **Section 4.4.3 : In-Service Management**

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**Red Line Content: Acquisition Management Policy:**  
**Section 4.4.3 : In-Service Management**

The Test and Evaluation Gold Standard and Implementation Guide defines standards for the development and implementation of all modifications to the National Airspace System during in-service management. -It includes a standardized testing process that lists the phases and detailed activities to be addressed. -The Gold Standard process as designed will support/ensure that the activity of safety risk management is address in the FAA.

The Test and Evaluation Gold Standard Matrix is used as a management tool to record development and test status, improve internal and external communications, and support risk assessment using best business practices. -This document is applicable to all NAS modifications across all FAA organizations.

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**Section 4.8 : Environmental, Occupational Safety and Health, and Energy Considerations**

**Old Content: Acquisition Management Policy:**

**Section 4.8 : Environmental, Occupational Safety and Health, and Energy Considerations**

FAA investment programs are subject to federal environmental, occupational safety and health, and energy management statutes, regulations, executive orders, and Presidential memoranda. Key considerations are pollution prevention, safety and health (including system safety), cultural and natural resource conservation, public participation, and energy and water conservation. Additional issues concerning the applicability of state and local agency requirements to federal agencies should be referred to the legal office for an evaluation of supremacy clause and sovereign immunity implications. Service organizations *must* understand the national concern and sensitivity of these issues and address them in program planning and execution.

The following illustrate *some* of the requirements:

- The *National Environmental Policy Act* requires preparation of an environmental assessment or an environmental impact statement for all proposed federal actions that are not categorically excluded. Depending on the results, an environmental assessment can lead to an environmental impact statement or a finding of no significant impact. Following the prescribed review periods, the FAA may make a decision on the federal action.
- Various other environmental laws (e.g., the *Federal Facilities Compliance Act*) impose environmental requirements, and sanctions for noncompliance, including civil penalties.
- The *Occupational Safety and Health Administration (OSHA)* requires a safe and healthful workplace for all employees, and compliance with OSHA standards.

OSHA (29 CFR 1910.28) and GSA (Federal Property Management Regulations) require the FAA to establish and maintain an Occupant Emergency Plan for all FAA facilities. In the event

an investment program impacts egress routes or fire safety of a facility, the plan must be updated by the service organization performing the project.

- The *National Energy Conservation Policy Act* requires energy and water conservation measures for federal buildings, facilities or space.

Environmental, safety and health, and energy conservation considerations apply from the beginning of the lifecycle management process through product disposal. The Exhibit 300 Program Baseline shall incorporate estimates for the full cost of complying and allow sufficient time for doing so. FAST contains procedural guidance for required actions.

**New Content:** Acquisition Management Policy:

#### **Section 4.8 : Environmental, Occupational Safety and Health, and Energy Considerations**

FAA investment programs are subject to federal environmental, occupational safety and health, and energy management statutes, regulations, executive orders, and Presidential memoranda. Key considerations are pollution prevention, safety and health (including system safety), cultural and natural resource conservation, public participation, and energy and water conservation. Additional issues concerning the applicability of state and local agency requirements to federal agencies should be referred to the legal office for an evaluation of supremacy clause and sovereign immunity implications. Service organizations *must* understand the national concern and sensitivity of these issues and address them in program planning and execution.

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Environmental, safety and health, and energy conservation considerations apply from the beginning of the lifecycle management process through product disposal. The acquisition

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#### **Section 4.11 : Security**

**Old Content:** Acquisition Management Policy:

#### **Section 4.11 : Security**

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The FAA must conform with national policy related to the physical security of the aviation infrastructure including leased and owned facilities, the security of all information associated with operation of the FAA and aircraft operations, and personnel security. The FAA is also obligated to protect proprietary information to which it has access.

Physical security is directly applicable to aviation industry operations and activities, and to supporting infrastructure such as communications, sensors, and information processing. In addition, physical security applies to staffed facilities that the FAA leases, owns, and operates. For more information concerning physical security, see FAA Order 1600.69, FAA Facility Security Management Program, as amended.

Personnel security applies to all FAA positions and FAA employees, contractors, subcontractors, and other users of FAA information systems. Each position must be designated as to the level of risk in terms of suitability and access to FAA facilities, sensitive information, and/or resources, and also designated as to the level of sensitivity in terms of national security and public trust responsibilities related to the efficiency of the service.

The FAA is required by Executive Orders 13292 and 12968 to protect classified information from unauthorized disclosure. The FAA is also required by law to protect sensitive unclassified information from public disclosure. FAA policy for information security is found in FAA Orders 1600.2E and 1600.72A.

The FAA is required by law (PL 100-235, Federal Information Security Management Act, 2002 (FISMA)), OMB Circular A-130, and other federal standards to provide security for all information that is collected, stored, processed, disseminated, or transmitted using FAA or non-FAA-owned information systems. Information System Security (ISS) requirements must be integrated into each phase of a program's lifecycle (see ISS System Process Flowchart). The Exhibit 300 Program Baseline and planning attachments for each investment program must include the cost of complying with national security policy and must allow sufficient time for compliance. The FAA ISS Program policy is contained in FAA Order 1370.82 ([intranet.faa.gov/aio](http://intranet.faa.gov/aio)), as amended. This order supersedes FAA Order 1600.54B (FAA Automated Information Systems Security Handbook).

**New Content: Acquisition Management Policy:**

**Section 4.11 : Security**

The FAA must conform with national policy related to the physical security of the aviation infrastructure including leased and owned facilities, the security of all information associated with operation of the FAA and aircraft operations, and personnel security. The FAA is also obligated to protect proprietary information to which it has access.

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**Red Line Content: Acquisition Management Policy:  
Section 4.11 : Security**

The FAA must conform with national policy related to the physical security of the aviation infrastructure including leased and owned facilities, the security of all information associated with operation of the FAA and aircraft operations, and personnel security. The FAA is also obligated to protect proprietary information to which it has access.

Physical security is directly applicable to aviation industry operations and activities, and to supporting infrastructure such as communications, sensors, and information processing. In addition, physical security applies to staffed facilities that the FAA leases, owns, and operates. For more information concerning physical security, see FAA Order 1600.69, FAA Facility Security Management Program, as amended.

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### **Section 4.12 : System Safety Management**

**Old Content:** Acquisition Management Policy:

#### **Section 4.12 : System Safety Management**

Safety management shall be conducted and documented throughout the lifecycle of a system in accordance with the FAA's Safety Management System (SMS). The SMS requires use of safety risk management to identify safety risks to the National Airspace System.

Critical safety issues identified during service analysis are recorded in an enterprise architecture roadmap; a system safety assessment of alternative solutions to mission need is reported in the business case analysis report; and service organizations provide program-specific safety risk management planning in the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning.

Each service organization involved in acquisition management shall institute a system safety program that includes at a minimum: hazard identification, hazard classification (severity of consequences and likelihood of occurrence), measures to mitigate hazards or reduce risk to an acceptable level, verification that mitigation measures are incorporated into product design and implementation, and assessment of residual risk. Status of system safety shall be presented at all decision points and investment reviews. Detailed guidelines for safety management are found in FAST and in the FAA's SMS manual.

**New Content:** Acquisition Management Policy:

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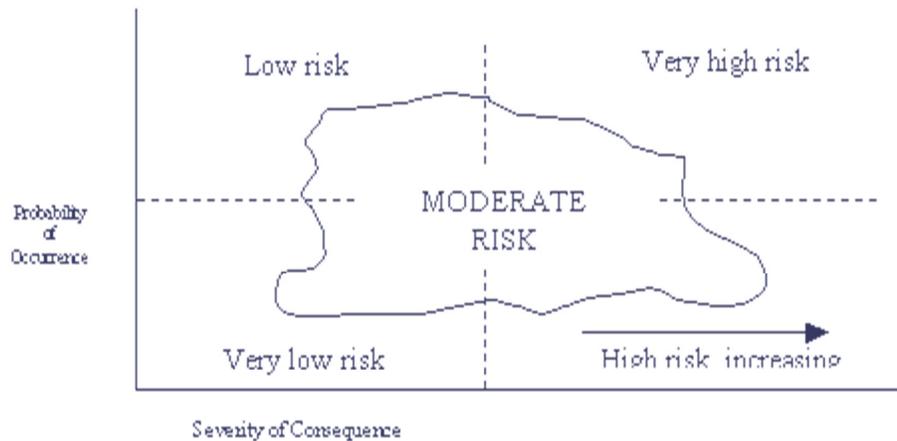
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**Section 4.13 : Risk Management**

**Old Content:** Acquisition Management Policy:  
**Section 4.13 : Risk Management**

Risk management is applied throughout the lifecycle management process to identify and mitigate risks associated with achieving FAA goals and objectives. Each line of business shall institute risk management processes that: (1) identify and assess risk areas; (2) develop and execute risk mitigation or elimination strategies; (3) track and evaluate mitigation efforts; and (4) continue mitigation activity until risk is eliminated or its consequences reduced to acceptable levels.



**Figure 4.13-1 Risk Characterization**

Risk management applies to all levels of FAA activity, from small projects to large programs. It applies to such risk areas as cost, schedule, technical, system safety, all security disciplines, human factors, operability, producibility, supportability, benefits, management, funding, and stakeholder satisfaction (e.g., Congressional and aviation community priorities; union concerns). The following examples illustrate key elements of risk management:

- **Service-level risk management.** Risk management during service analysis identifies and characterizes risks to the FAA's ability to execute its legislated responsibilities and satisfy customer demands for service. Typically, these risks arise from changes in the operational environment and shortfalls in operational capability.
- **Investment analysis risk management.** Risk management during investment analysis shall ensure primary risks associated with alternative solutions to mission need are identified and evaluated fully. Sufficient time and money must be included in the Exhibit 300 Program Baseline of a solution selected for implementation to mitigate risk and achieve program success.
- **Program risk management.** Service organizations shall apply risk management throughout the lifecycle of their products and services. The focus is on early detection and reduction of risk to avoid the greatly increased cost of dealing with the consequences of risk later in the lifecycle. Risk management planning and risk-mitigation actions are documented in the Exhibit 300 Exhibit Program Baseline and its planning attachments. Appropriate risk management requirements and activities are also included in any prime contract for products or services. Risk management continues throughout in-service management, with the assessment and adjustment of mitigation efforts to reduce the consequences of risk to an acceptable level.
- **Security Risk Management.** Vulnerabilities and risks within FAA programs must be reduced to acceptable levels for all identified threats that could result in quantifiable injury to personnel, loss or destruction of critical assets, or disruption of FAA information systems, including mission-critical NAS operational systems and mission support and administrative systems. Offices sponsoring or executing programs shall implement and maintain lifecycle security risk management for each investment program.

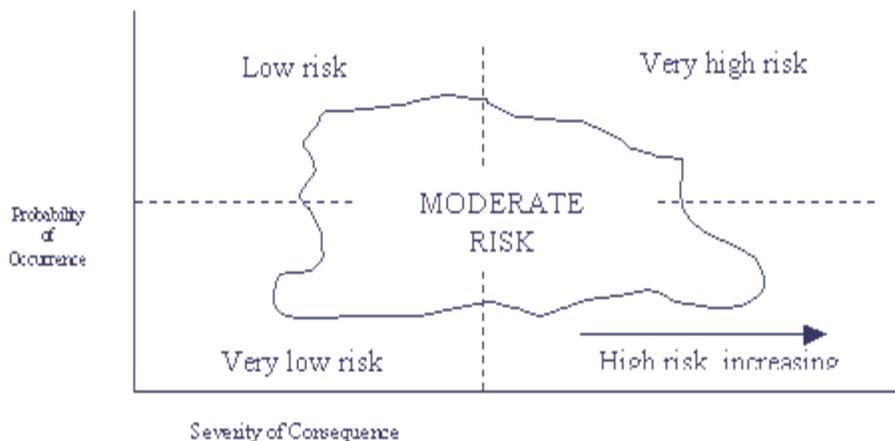
Lifecycle security risk management shall be an integral part of program concept, planning, engineering design, and implementation, and shall be maintained and modified throughout the lifecycle, as required. The methodology for quantifying and measuring asset criticality, along with identifying levels of vulnerability and risk shall meet or exceed the lifecycle risk management process guidance in FAST.

- **Human factors risk management.** Human factors risk management shall ensure effective human / system interaction and performance. Human issues such as usability, operational suitability, personnel and training costs, and user performance must be evaluated during concept and requirements definition and investment analysis as FAA needs are defined and alternative solutions are evaluated. During solution implementation, human factors must be fully integrated into planning and execution of the overall program to foster safe, effective human / product performance and ensure user acceptance of the final product.

**New Content: Acquisition Management Policy:**

**Section 4.13 : Risk Management**

Risk management is applied throughout the lifecycle management process to identify and mitigate risks associated with achieving FAA goals and objectives. Each line of business shall institute risk management processes that: (1) identify and assess risk areas; (2) develop and execute risk mitigation or elimination strategies; (3) track and evaluate mitigation efforts; and (4) continue mitigation activity until risk is eliminated or its consequences reduced to acceptable levels.



**Figure 4.13-1 Risk Characterization**

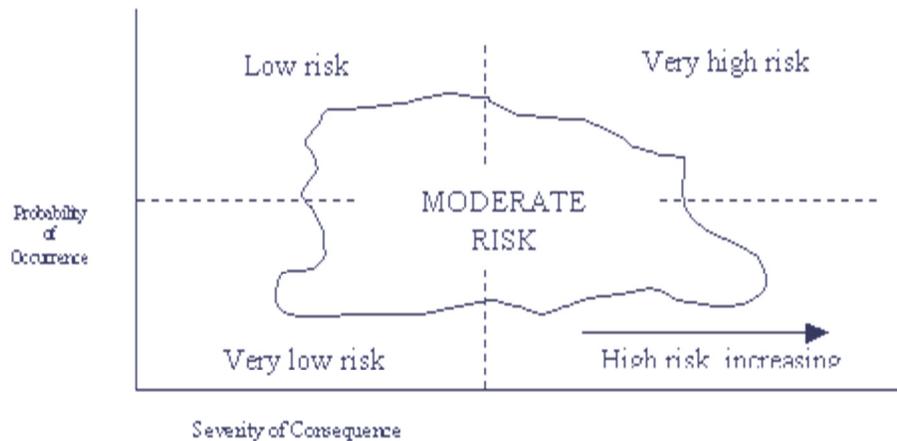
Risk management applies to all levels of FAA activity, from small projects to large programs. It applies to such risk areas as cost, schedule, technical, system safety, all security disciplines, human factors, operability, producibility, supportability, benefits, management, funding, and stakeholder satisfaction (e.g., Congressional and aviation community priorities; union concerns). The following examples illustrate key elements of risk management:

- **Service-level risk management.** Risk management during service analysis identifies and characterizes risks to the FAA's ability to execute its legislated responsibilities and satisfy customer demands for service. Typically, these risks arise from changes in the operational environment and shortfalls in operational capability.
- **Investment analysis risk management.** Risk management during investment analysis shall ensure primary risks associated with alternative solutions to mission need are identified and evaluated fully. Sufficient time and money must be included in the acquisition program baseline of a solution selected for implementation to mitigate risk and achieve program success.
- **Program risk management.** Service organizations shall apply risk management throughout the lifecycle of their products and services. The focus is on early detection and reduction of risk to avoid the greatly increased cost of dealing with the consequences of risk later in the lifecycle. Risk management planning and risk-mitigation actions are documented in the OMB Exhibit 300 and the implementation strategy and planning document. Appropriate risk management requirements and activities are also included in any prime contract for products or services. Risk management continues throughout in-service management, with the assessment and adjustment of mitigation efforts to reduce the consequences of risk to an acceptable level.
- **Security Risk Management.** Vulnerabilities and risks within FAA programs must be reduced to acceptable levels for all identified threats that could result in quantifiable injury to personnel, loss or destruction of critical assets, or disruption of FAA information systems, including mission-critical NAS operational systems and mission support and administrative systems. Offices sponsoring or executing programs shall implement and maintain lifecycle security risk management for each investment program. Lifecycle security risk management shall be an integral part of program concept, planning, engineering design, and implementation, and shall be maintained and modified throughout the lifecycle, as required. The methodology for quantifying and measuring asset criticality, along with identifying levels of vulnerability and risk shall meet or exceed the lifecycle risk management process guidance in FAST.
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**Red Line Content: Acquisition Management Policy:  
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**Figure 4.13-1 Risk Characterization**

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- **Service-level risk management.** Risk management during service analysis identifies and characterizes risks to the FAA's ability to execute its legislated responsibilities and satisfy customer demands for service. Typically, these risks arise from changes in the operational environment and shortfalls in operational capability.
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- **Program risk management.** Service organizations shall apply risk management throughout the lifecycle of their products and services. The focus is on early detection and reduction of risk to avoid the greatly increased cost of dealing with the consequences of risk later in the lifecycle. Risk management planning and risk-mitigation actions are documented in the [OMB Exhibit 300 Exhibit and Program the implementation Baseline strategy](#) and its planning [attachments document](#). Appropriate risk management requirements and activities are also included in any prime contract for products or services. Risk management continues throughout in-service management, with the assessment and adjustment of mitigation efforts to reduce the consequences of risk to an acceptable level.
- **Security Risk Management.** Vulnerabilities and risks within FAA programs must be reduced to acceptable levels for all identified threats that could result in quantifiable

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#### **Section 4.15.1 : Scope**

**Old Content:** Acquisition Management Policy:

#### **Section 4.15.1 : Scope**

The post-implementation review is a standard evaluation practice applied to all investment programs in the FAA. The review assesses the results of an investment program against baseline expectations to determine if it is achieving performance and benefit targets, meeting the service needs of customers, and whether the original business case is still valid. Specifically, the review examines the differences between actual investment costs, schedules, benefits, performance, and mission outcomes and baseline measures in the Exhibit 300 Program Baseline or equivalent baseline measures approved by the appropriate subordinate investment review board. Post-implementation reviews are also conducted on families of related programs intended to achieve composite service outcomes, as directed by the Joint Resources Council, subordinate investment review board, or service organization. The review is conducted 6 to 18 months after deployment at an operational site once the new capability is operating smoothly and users are familiar with it.

**New Content:** Acquisition Management Policy:

#### **Section 4.15.1 : Post-Implementation Review**

The post implementation review is typically a one-time review to determine the following:

- Are actual costs, performance, and benefits achieving baseline expectations and if not, why not?
- Is the asset enabling the agency to provide the intended service or do we need to make changes?
- Are there any systemic issues that need to be fixed before widespread deployment?

- Are there process or implementation issues we need to strengthen or improve?

The scope and content of the post-implementation review depends on the acquisition category to which the investment program is assigned. The PIR may include the examination of risks, requirements, customer feedback, and cost/schedule performance. The output is a comparison of actual program costs, schedule, performance, and benefits as specified in the business case analysis report and acquisition program baseline and actual results as deployed. PIRs may also be conducted on families of related programs intended to achieve composite service outcomes, as directed by the investment decision authority, subordinate investment review board, or the Director of the performing organization. The PIR is conducted 6 to 24 months after an asset first goes into operational service or as determined by the investment decision authority for families of related programs. The Director of the performing organization funds the PIR, determines the factors and sub-factors that comprise the PIR based on acquisition category, staffs the PIR team, plans the PIR, and executes PIR processes. The Director of the performing organization develops a plan of action and milestones to address exceptions. The Director of the performing organization reports PIR exceptions, which cannot be managed by Directorate resources, to the investment decision authority, vice-president or equivalent, and/or key stakeholder organizations, as appropriate. The PIR Quality Officer ensures the PIR is planned and conducted in an unbiased manner and consistent with agency standards. The PIR Quality Officer participates in PIR processes and maintains agency records of PIR plans, reports, exception reports, and plans of action and milestones. Go to [Post Implementation Review Guidance](#) to find out how to conduct a PIR and report results.

**Red Line Content:** Acquisition Management Policy:  
**Section 4.15.1 : Scope Post-Implementation Review**

The **Operational** post implementation review **analysis** is a standard evaluation practice applied to all investment programs **the process by which FAA evaluates the ability of in-service assets to continue to provide the FAA service for which they were procured.** **It answers the following questions:**

- **Are actual operating costs comparable review to estimates assesses in the results business of an case analysis investment report?**
- **Is program the against asset operating with a sustainable design?**
- **Can the baseline expectations asset continue to determine meet if it is achieving the business needs and performance and goals benefit of targets, the meeting agency?**
- **Is the service asset continuing to meet stakeholder needs?**

**Operational analysis consists of customers gathering and analyzing reliability, maintainability, and whether availability data (using the original business case is still National Airspace System Performance Analysis valid System); Specifically, managing the supportability information to determine whether an operational asset can review continue examines to provide the differences between actual investment expected service for its costs, intended schedules life, benefits, monitoring performance, cost and mission outcomes and baseline measures data to ensure actual costs are in the line with Exhibit planned 300 costs; Program Baseline or equivalent baseline measures and managing asset viability against stakeholder approved needs. by Results**

*are fed into* the appropriate *FAA's planning* subordinate *and* investment review *analysis* board. *processes* Post-implementation *by* reviews *the* are *Directorate*, also *when* conducted *warranted*, on families of related programs *as a basis for determining* intended *whether an asset may need* to achieve *be modernized, replaced, or removed* composite *from* service. outcomes. *Operational* as directed by the Joint Resources *analysis begins* *when an asset first* Council. *goes* subordinate investment review *operational and continues* board. *until* or service *it is* organization *removed from service*. The *Operational analysis* review *data* is conducted *also* *used* to *in the evaluation* 18 months after *of asset readiness* deployment *status*. at an *Operational analysis* operational *is the* site once *responsibility of* the new *Directorate* capability is *of the* operating *performing/service* smoothly *organization*. and *Go* users *to Operational Analysis Guidance* to are familiar with *find out how it to conduct* *operational analysis and report results*

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### **Section 4.15.2 : Tailoring**

**Old Content:** Acquisition Management Policy:

#### **Section 4.15.2 : Tailoring**

The post-implementation review is tailored to the size, complexity, and importance of the investment program. Activities and costs are scaled appropriately, and may range from periodic surveys or focus-group meetings with users of small, low-cost investment products to multiple site visits by a dedicated cross-functional team of users and stakeholders for large, complex, high-cost investment programs. In all cases, actual operational data from users is gathered and assessed against performance targets. Tailoring is recorded in the PIR strategy section of the Implementation Strategy and Planning attachment to the Exhibit 300 Program Baseline or Resource Planning Data. Costs are included in the cost tables of the program's OMB Exhibit 300 or Resource Planning Data.

**New Content:** Acquisition Management Policy:

#### **Section 4.15.2 : Operational Analysis**

Operational analysis is the process by which FAA evaluates the ability of in-service assets to continue to provide the service for which they were procured. It answers the following questions:

- Are actual operating costs comparable to estimates in the business case analysis report?
- Is the asset operating with a sustainable design?
- Can the asset continue to meet the business needs and performance goals of the agency?
- Is the asset continuing to meet stakeholder needs?

Operational analysis consists of gathering and analyzing reliability, maintainability, and availability data (using the National Airspace System Performance Analysis System); managing supportability information to determine whether an operational asset can continue to provide the expected service for its intended life, monitoring cost data to ensure actual costs are in line with planned costs; and managing asset viability against stakeholder needs. Results are fed into the FAA's planning and investment analysis processes by the Directorate, when warranted, as a

basis for determining whether an asset may need to be modernized, replaced, or removed from service. Operational analysis begins when an asset first goes operational and continues until it is removed from service. Operational analysis data is also used in the evaluation of asset readiness status. Operational analysis is the responsibility of the Directorate of the performing/service organization. Go to [Operational Analysis Guidance](#) to find out how to conduct operational analysis and report results.

**Red Line Content: Acquisition Management Policy:**  
**Section 4.15.2 : [Tailoring Operational Analysis](#)**

The post-implementation review is ~~tailored~~ **typically a one-time review** to **determine** the **size** ~~following:~~

- **Are actual costs, performance, complexity and benefits achieving baseline expectations and if not, why not?**
- **Is the asset enabling the agency to provide the intended service or do we need to make changes?**
- **Are there any systemic issues that need to be fixed before widespread deployment?**
- **Are there process or implementation issues we need to strengthen or improve?**

**The scope and importance/content of the post-implementation review depends on the acquisition category to which the investment program is assigned. ActivitiesThe PIR may include the examination of risks, requirements, customer feedback, and costs/cost/schedule performance. The output is a comparison of actual program are costs, sealed schedule, appropriately performance, and may benefits range from periodic surveys or as specified in the business focus group case meetings analysis with report and acquisition program baseline and actual results as deployed. PIRs may also be conducted on users/families of small related programs intended to achieve composite service outcomes, low cost as directed by the investment decision authority, subordinate investment products review board, or the Director of the performing organization. The PIR is conducted 6 to multiple 24 months after an asset first goes into site operational service or visits as determined by a dedicated the investment cross-functional decision team authority for families of users related programs. The Director of the performing organization funds the PIR, determines the factors and stakeholders sub-factors that for comprise the PIR based large on acquisition category, complex staffs the PIR team, high cost plans investment the programs PIR, and executes PIR processes. In The Director all of cases, the actual operational data from users is gathered performing organization develops a plan of action and assessed milestones against performance targets to address exceptions. Tailoring is The recorded in Director of the performing organization reports PIR strategy exceptions, which section cannot of be managed by Directorate resources, to the Implementation investment decision authority, vice-president or Strategy equivalent, and/or Planning attachment key stakeholder to organizations, as appropriate. The PIR Quality Officer ensures the Exhibit PIR is 300 Program Baseline planned and conducted or in an unbiased manner and consistent Resource Planning Data with agency standards. Costs The PIR Quality are included Officer participates in the PIR cost processes and tables maintains agency records of the PIR program plans, reports, exception reports, and plans of action and milestones. Go to Post**

**Section 4.16.1 : Program Requirements**

**Old Content:** Acquisition Management Policy:

**Section 4.16.1 : Program Requirements**

Development, modernization, and enhancement programs must use an EVM system based on the guidelines in American National Standard ANSI/EIA-748, Earned Value Management Systems, for the total program effort, including both government and contractor work, according to the following table. Major investment programs are those required by the Office of Management and Budget to submit an OMB Exhibit 300. The Joint Resources Council or appropriate subordinate investment review board designates non-major programs required to have an EVMS.

**FAA Program EVMS Requirements**

	Program Type	Program Type	Program Type
EVMS Requirements	Major	Non-Major	Other
Exhibit 300	R	T	O
Integrated Master Schedule	R	T	O
Integrated Baseline Review	R	T	O
EVM Standard Compliance	R	R	O
EVM System Certification	R	O	O

*R = Required by approving authority*

*T = Tailored: requirement may be tailored by program*

*O = Optional* **New Content:** Acquisition Management Policy:

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Development, modernization, and enhancement programs must use an EVM system based on the guidelines in American National Standard ANSI/EIA-748, Earned Value Management Systems, for the total program effort, including both government and contractor work, according to the following table. Program EVM must be consistent with the acquisition strategy in the implementation strategy and planning document, section 3.2, Program Control. Major investment programs are those required by the Office of Management and Budget to submit an OMB Exhibit 300. The Joint Resources Council or appropriate investment decision authority designates non-major programs required to have an EVMS.

**FAA Program EVMS Requirements**

	Program Type	Program Type	Program Type
EVMS Requirements	Major	Non-Major	Other
Exhibit 300	R	T	O

Integrated Master Schedule	R	T	O
Integrated Baseline Review	R	T	O
EVM Standard Compliance	R	R	O
EVM System Certification	R	O	O

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### FAA Program EVMS Requirements

	Program Type	Program Type	Program Type
EVMS Requirements	Major	Non-Major	Other
Exhibit 300	R	T	O
Integrated Master Schedule	R	T	O
Integrated Baseline Review	R	T	O
EVM Standard Compliance	R	R	O
EVM System Certification	R	O	O

R = Required by approving authority

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### Section 4.16.2 : Contract Requirements

**Old Content: Acquisition Management Policy:**

### Section 4.16.2 : Contract Requirements

Contractor EVM implementation must be consistent with the program's acquisition strategy (JRC approved OMB-300 Attachment 3, Implementation Strategy and Planning (ISP) document, section 5.6, Program Control). All capital investment programs must use the following table to determine the application of EVM to the development, modernization, and enhancement work assigned to contractors. The requirements apply to all contract types. On an exception basis, low-risk contractor efforts, i.e., firm fixed price production, may implement EVM within a FAA program office at the program level. Contractor EVM implementation must be based on an assessment of the cost, schedule, and technical performance risk of each contract.

### FAA Contract EVMS Requirements

	Total Contract Value (\$M)	Total Contract Value (\$M)
<b>EVMS Requirements</b>	<b>&gt;\$10</b>	<b>&lt;\$10</b>
Contract Performance Report	R	O
Integrated Master Schedule	R	O
Integrated Baseline Reviews	R	O
EVMS Standard Compliance	R	O
EVM System Certification	R	O

*R = Required by approving authority*

*O = Optional* **New Content:** Acquisition Management Policy:

#### **Section 4.16.2 : Contract Requirements**

Contractor EVM implementation must be consistent with the strategy in the implementation strategy and planning document, section 2.8, Contract Management. All capital investment programs must use the following table to determine the application of EVM to the development, modernization, and enhancement work assigned to contractors. The requirements apply to all contract types. On an exception basis, low-risk contractor efforts, i.e., firm fixed-price production, may implement EVM within a FAA program office at the program level. Contractor EVM implementation must be based on an assessment of the cost, schedule, and technical performance risk of each contract.

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Integrated Master Schedule	R	O
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EVMS Standard Compliance	R	O
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Integrated Baseline Reviews	R	O
EVMS Standard Compliance	R	O
EVM System Certification	R	O

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**Appendix A: Roles and Responsibilities**

**Old Content:** Acquisition Management Policy:

**Appendix A: Roles and Responsibilities**

**JOINT RESOURCES COUNCIL**

- Approves the FAA investment portfolio each year as part of the budget submission process;
- Approves the FAA enterprise architecture;
- Makes the decision to approve a new investment program for inclusion in a service portfolio at the conclusion of investment analysis;
- Selects a solution;
- Establishes an investment program and assigns it to a service organization;
- Baselines program requirements in Exhibit 300 program baseline attachment 1: Program Requirements;
- Approves the Exhibit 300 program baseline;
- Commits the FAA to full funding of the approved investment program phase;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation and in-service management;
- Makes Exhibit 300 program baseline change decisions that alter program performance, cost, schedule, and benefits baselines during solution implementation or in-service management;
- Approves FAA budget submissions for the RE&D, and F&E appropriations, and reviews the O&M appropriation. The Administrator approves the O&M budget before submission to the Office of the Secretary for Transportation;
- Makes production and in-service decisions or assigns approval authority to another organization; and
- Participates in service-level reviews to manage ongoing investment programs, including operational assets.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Associate Administrator for Aviation Safety;
- Chief Information Officer;
- General Counsel;
- Chief Financial Officer;
- Associate Administrator for Region and Center Operations;
- Associate Administrator for Airports; and
- ATO Financial Officer.

The following members attend JRC meetings when the decision concerns their organizational responsibilities:

- Associate Administrator for Commercial Space Transportation;
- Assistant Administrator for Aviation Policy, Planning, and Environment; and
- Director for Joint Planning and Development Office.

#### **ATO EXECUTIVE COUNCIL**

- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., air traffic control services and the National Airspace System);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy; and
- Oversees execution of those investment programs assigned by the Joint Resources Council.

#### **INFORMATION TECHNOLOGY EXECUTIVE BOARD**

- Reviews and approves OMB Exhibit 300s for designated information technology capital investments during the annual budget cycle before submission to the Department of Transportation and OMB;
- Reviews and recommends to the Joint Resources Council for approval investment opportunities for assigned elements of the enterprise architecture (e.g., administrative systems, some mission support services, certain NAS investments);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Oversees execution of information technology investments assigned by the JRC; and
- Makes investment decisions in areas specified by the Joint Resources Council.

#### **ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER**

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- Require service analysis for designated business areas within the line of business;
- Approve entry into initial investment analysis;
- Recommend changes to the enterprise architecture;
- Provide staff support to the concept and requirements analysis and investment analysis for service needs within the line of business;
- Jointly approve the Exhibit 300 program baseline with the Acquisition Executive, Chief Financial Officer, and Chief Information Officer for programs within the line of business;
- Implement a non-material solution to a service need that emerges any time during mission analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business.

### **ACQUISITION EXECUTIVE**

- Manages Acquisition Management System policy;
- Member of the Joint Resources Council;
- Jointly approves the Exhibit 300 program baseline with the Chief Financial Officer, Chief Information Officer, and Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business;
- Chairs the Joint Resources Council at the investment decision and at Exhibit 300 program baseline change decisions;
- Chairs service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

### **VICE PRESIDENTS AND SERVICE DIRECTORS**

- Have overall responsibility and accountability for the delivery of services by the service unit or service directorate under their management;
- Deliver status briefings for their service portfolio to the Joint Resources Council at semi-annual service-level reviews;
- Approve plans for concept and requirements definition and assign necessary human resources;
- Make the decision to enter concept and requirements definition after all entrance criteria are satisfied;
- Approve plans for investment analysis and assign necessary human resources;
- Approve attachments 1 (program requirements) and 3 (implementation strategy and planning) of the Exhibit 300 program baseline;
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs; and
- Approve updates to the implementation strategy and planning document during in-service management and forwards signed updates to the JRC Executive Secretariat.

### **JOINT RESOURCES COUNCIL EXECUTIVE SECRETARIAT**

The JRC Executive Secretariat manages the investment decision-making process for the JRC and for the ATO Executive Council. The JRC Executive Secretariat:

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an investment decision before scheduling the program for a JRC or JRC subordinate investment review board decision;
- Coordinates JRC and ATO Executive Council meeting dates and arranges logistics;
- Processes JRC-related tailoring requests;
- Manages the paper JRC process;
- Prepares records of decision from JRC meetings, minutes from JRC service-level reviews, and notes from ATO Executive Council meetings related to investment decisions;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains JRC guidance documents and processes.

## **CAPITAL INVESTMENT TEAM**

The capital investment team (CIT) is composed of senior-level staff and managers from ATO-Finance, ATO-Operations Planning, the FAA's Office of Financial Services, and management representatives of non-ATO offices when their programs are being reviewed; responsible for supporting the ATO Chief Financial Officer, the ATO-Executive Committee and the Joint Resources Council in establishing and maintaining year-round prioritization of all ongoing and proposed investment programs, performing budget impact assessments for new proposed investment programs, preparing annual budget submissions, and preparing reprogramming of funds recommendations. Functional disciplines on the team include operational air traffic control expertise, system engineering, investment analysis, and capital and operations budgeting. The CIT:

- Reviews ATO investment programs and provides recommendations to the ATO Vice President of Finance prior to JRC presentation and approval to assess business justification, budget affordability, and program priority;
- Formulates ATO Capital R&D funding requirements;
- Reviews non-ATO investments proceeding to the JRC and provides business based, objective recommendations to the ATO Vice President of Finance for use on the JRC;
- Performs corporate budget formulation and execution, including budget impact assessments, and recommendations of funding offsets and reprogramming due to program baseline changes, marks/pass-backs from OST, OMB, and Congress; and
- Establishes and maintains an up-to-date prioritization of all on-going and proposed investment programs for use in budget impact assessments and determination of offsets.

## **DIRECTOR, OFFICE OF SAFETY MANAGEMENT**

- Conducts independent operational test and evaluation for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning for programs designated for IOT&E.

## **PRODUCT OR SERVICE TEAM**

- Develops, procures, and delivers products or services for users or customers;
- Manages each investment program's Exhibit 300 program baseline and predicts and reports breaches to management;
- Updates the OMB Exhibit 300 annually;
- Assists in development of the program requirements recorded in attachment 1: Program Requirements of the Exhibit 300 program baseline;
- Develops cost and schedule baselines for alternative solutions during final investment analysis;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation and in-service management in the Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning;
- Supports the conduct of post-implementation reviews;
- Assesses operational assets annually at a minimum to determine whether they should continue in service as is or be modified, upgraded, or removed from service; and
- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary, depending on the type of program, but typically include; management of requirements; test and evaluation; deployment planning; logistics support; procurement planning; real property; acquisition, management, and disposal; configuration management; earned value management; human factors; environmental, occupational safety and health, and energy considerations; information technology; system engineering; security; system safety management; spectrum management; risk management; regulation and certification; telecommunications. The service organization is responsible to ensure that all relevant disciplines have been contacted whether or not they appear in the above list.

## **PRODUCT OR SERVICE TEAM LEADER**

- Serves as the Source Selection Official if a procurement is subject to the JRC investment-decision process (unless otherwise designated by the JRC);
- Serves as spokesperson for the team;
- Guides, encourages, and coaches team members;
- Leads and facilitates team efforts without dominating the process;
- Keeps the team focused on consensus decision-making and ensures individual team members do not dominate team deliberations;
- Ensures all program stakeholders are members of the team and that they participate in team decision-making;
- Leads development of an investment program's cost, schedule, benefits, and performance program baseline and presents it for review and approval;

- Determines the management approach for an investment program and applicable contracts based on program size, complexity, risk, and FAA earned value management policy;
- Manages the program baseline and reports performance information to management, including anticipated or actual breaches with corrective actions or a request for a revised program baseline;
- In consultation with the Contracting Officer, determines the acquisition strategy for obtaining the selected solution and establishes the appropriate earned value management and reporting applications for each contract;
- Assures FAA's program needs are acquired through the appropriate source selection process and assures SIRs include adequate definition of requirements;
- Assures qualified technical evaluators, if required, assist the source evaluation team in the evaluation; and
- In consultation with the Contracting Officer, conducts the Integrated Baseline Review, assisted by the Contracting Officer's Technical Representative.

### **CONTRACTING OFFICER**

- Serves as the Source Selection Official for procurements not subject to the JRC investment-decision process;
- Ensures, when applicable, conflict of interest documentation is obtained from the Source Selection Official and all source evaluation team members; with legal counsel, determines if any actual or apparent conflict of interest exists and if so resolves or mitigates the conflict;
- Ensures source evaluation team members are briefed on sensitivities of the source selection process, prohibition against unauthorized disclosure of information (including their responsibility to safeguard proposals and any documentation related to the source selection team proceedings), and requirements concerning conflict of interest; ensures Source Selection Official and source evaluation team members provide nondisclosure of information statements;
- Coordinates communications with industry, controls all written documentation issued to industry, and conducts all debriefings;
- Participates during screening, selection, and debriefing phases of source selection to ensure fair treatment of all offerors;
- Issues letters, public announcements, screening information requests and amendments, and other procurement documents;
- Ensures the contract is signed by a contractor's representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies;
- Executes, administers, and terminates contracts and makes related determinations and decisions that are contractually binding.

### **SOURCE SELECTION OFFICIAL**

- Assures source evaluation team competence, cohesiveness, and effectiveness;

- Assigns responsibility to a source evaluation team member to mark all source selection sensitive information with the designation "source selection sensitive information."
- Approves source evaluation plans and assures the evaluation conforms to the stated evaluation criteria; and
- Makes down-select decisions and assumes full authority to select the source for award.

## **SOURCE EVALUATION TEAM**

- Drafts all SIRs;
- Formulates the source evaluation plan;
- Reviews existing lessons learned reports that provide meaningful insight into the procurement;
- Ensures an in-depth review and evaluation of each submitted screening document against FAA requirements and stated evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the SSO may make down selection and/or award decisions, and if requested by the SSO, prepares documentation for the SSO's decision rationale;
- Oversees all procedural and administrative aspects of the procurement;
- Selects advisors to assist the team in its evaluation, if required;
- Participates in all debriefings; and
- Prepares a lessons learned memorandum after completing the source selection.

## **OFFICE OF THE CHIEF COUNSEL**

- Represents the FAA's legal interests on product or service teams engaged in the acquisition of goods and services in support of the FAA's mission;
- Exercises independent professional judgment, advises teams on relevant legal, governmental, and business issues, and promotes the legality and integrity of acquisition actions;
- Represents the FAA in connection with procurement-related litigation, alternative dispute resolution and other matters;
- Serves as core member of the Joint Resources Council.

## **OFFICE OF DISPUTE RESOLUTION FOR ACQUISITION**

- FAA Administrator's impartial administrative forum for adjudication of bid protests and contract disputes arising under the Acquisition Management System;
- Provides dispute resolution services to the FAA and its private business partners, implementing the FAA's policy to utilize Alternative Dispute Resolution (ADR) to the maximum extent practicable;
- Conducts a streamlined adjudication process for matters un-resolvable through ADR;
- Provides "Findings and Recommendations", and issues orders and decisions supported by the case record and law, on behalf of the FAA Administrator;
- Promulgates and operates in accordance with rules of procedure; and
- Recommends changes to the Acquisition Management System.

## **SERVICE ORGANIZATIONS**

- Plan and manage resources as assigned by the Joint Resources Council to deliver services within their service area of responsibility;
- Conduct service analysis for assigned services and plan service delivery;
- Maintain consistency between service area planning and FAA strategic and performance goals;
- Work with the appropriate systems engineering organization to develop concepts of use and requirements, as required;
- Work with the appropriate systems engineering organization to determine realistic alternative solutions to service area needs; and
- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

## **ATO OPERATIONS PLANNING ORGANIZATION**

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Interfaces with OST, OMB, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Oversees and coordinates the ATO strategic management process; and
- Provides test and evaluation services.

## **SYSTEMS ENGINEERING ORGANIZATIONS**

- Work with both corporate mission analysis and service organizations to ensure consistency between service area planning and the long-range strategic direction of the FAA;
- Work with service organizations to translate user needs into a sequenced and traceable architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;
- Work with service organizations to determine realistic alternative solutions to service need and assess their impact on the enterprise architecture;
- Work with service organizations to conduct service analysis and incorporate associated recommendations into the enterprise architecture; and
- Work with service organizations to develop the Exhibit 300 program baseline attachment 1: Program Requirements.

## **ATO SYSTEMS ENGINEERING ORGANIZATION**

- Performs corporate-level mission analysis;
- Oversees the NAS segment of the enterprise architecture;
- Coordinates service analysis activity across service organizations to ensure alignment with FAA strategic and performance goals and to eliminate redundant activity, duplicate benefits, service gaps, and service overlap;
- Develops and maintains standards and tools for conducting service analysis;

- Assists service organizations in establishing a service analysis capability and conducting service analysis; and
- Leads planning and activities for concept and requirements definition

### **CHIEF FINANCIAL OFFICER**

- Jointly approves the Exhibit 300 program baseline with the Acquisition Executive, Chief Information Officer, and the Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business at the final investment decision;
- Serves as a core member of the Joint Resources Council; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

### **CHIEF INFORMATION OFFICER**

- Serves as a core member of the Joint Resources Council;
- Chairs the Information Technology Executive Board;
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB;
- Jointly approves the Exhibit 300 program baseline with the Acquisition Executive, Chief Financial Officer, and the Associate or Assistant Administrator (non-ATO) or Chief Operating Officer (ATO) of the sponsoring line of business at the final investment decision; and
- Oversees the enterprise architecture.

### **AIO VALUE MANAGEMENT OFFICE**

- Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Exhibit 300s;
- Independently scores OMB Exhibit 300s and provides feedback to service organizations
- Independently scores Exhibit 300 program baselines and provides feedback to the JRC Secretariat.
- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Information Technology Executive Board, Department of Transportation, and Office of Management and Budget; and
- Conducts EVM assessments for programs requiring submission of an Exhibit 300 to OMB and ensures EVM transition plans for those programs are implemented effectively.

### **EARNED VALUE MANAGEMENT FOCAL POINT**

- Serves as the FAA EVM executive agent;
- Assists program managers and business managers to apply EVM system requirements to capital investment programs and contracts;
- Coordinates EVM activities for FAA with other government agencies and with industry and professional associations; and

- Collects monthly schedule and cost performance data, variance analysis and corrective action plans for major programs.

## **IN-SERVICE DECISION SECRETARIAT**

The in-service decision secretariat manages the deployment planning process for the JRC and for the ATO Executive Council. The secretariat:

- Coordinates with the JRC executive secretariat to verify that JRC readiness criteria for a final investment decision have been satisfied;
- Facilitates the efforts of service organizations to ensure timely and effective in-service decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an in-service decision before scheduling the program for a stakeholder and in-service decision meeting;
- Prepares records of decision; and
- Tracks ISD action plans until closure.
- Originators develop proposed changes in conjunction with primary users of the policy or guidance, or in the case of a complex change, with an ad hoc workgroup.

## **ACQUISITION EXECUTIVE BOARD**

A corporate body that assists and supports the FAA Acquisition Executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, tools, and training. The AEB:

- Reviews, authorizes, and oversees development and implementation of acquisition management policy, process, practices, procedures, tools, and training at all organizational levels;
- For authorized change proposals, charters and provides resources for cross-functional work groups to conduct feasibility and cost/benefit analyses for proposed policy, guidance, practice, and procedure changes;
- Directs, controls, and approves all compliance processes associated with execution of any aspect of AMS; and
- Directs and oversees the Acquisition System Advisory Group.

**New Content:** Acquisition Management Policy:

### **Appendix A: Roles and Responsibilities**

## **JOINT RESOURCES COUNCIL**

- Approves the FAA investment portfolio each year as part of the budget submission process;
- Approves the FAA enterprise architecture;
- Makes the decision to approve an ACAT 1 or ACAT 2 investment program for inclusion in a service portfolio at the conclusion of investment analysis;

- Establishes ACAT 1 and 2 investment programs and assigns execution to a service organization;
- Baselines program requirements for ACAT 1 and ACAT 2 investment programs in the final program requirements document;
- Approves the acquisition program baseline for ACAT 1 and ACAT 2 investment programs;
- Commits the FAA to full funding of the approved investment program segment for ACAT 1 and ACAT 2 investment programs;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation and in-service management for ACAT 1 and ACAT 2 investment programs;
- Makes acquisition program baseline change decisions that alter program performance, cost, and schedule baselines during solution implementation for ACAT 1 and ACAT 2 investment programs;
- Approves FAA budget submissions for the RE&D, and F&E appropriations, and reviews the O&M appropriation. The Administrator approves the O&M budget before submission to the Office of the Secretary for Transportation;
- Makes production and in-service decisions or assigns approval authority to another organization for ACAT 1 and ACAT 2 investment programs; and
- Conducts service-level reviews to manage ongoing investment programs, including operational assets.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Associate Administrator for Aviation Safety;
- Chief Information Officer;
- General Counsel;
- Chief Financial Officer;
- Associate Administrator for Region and Center Operations;
- Associate Administrator for Airports; and
- ATO Financial Officer.

The following members attend JRC meetings when the decision concerns their organizational responsibilities:

- Associate Administrator for Commercial Space Transportation;
- Assistant Administrator for Aviation Policy, Planning, and Environment; and
- Director for Joint Planning and Development Office.

### **ATO EXECUTIVE COUNCIL**

- Serves with the acquisition executive as the investment decision authority for ATO ACAT 3 and ACAT 4 investment programs (e.g., air traffic control services and the National Airspace System);

- Coordinates and integrates activity across ATO service units to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy; and
- Oversees execution of ACAT 3 - ACAT 5 investment programs within the ATO and as assigned by the Joint Resources Council.

### **INFORMATION TECHNOLOGY EXECUTIVE BOARD**

- Reviews and approves OMB Exhibit 300s for designated information technology capital investments during the annual budget cycle before submission to the Department of Transportation and OMB;
- Serves as the investment decision authority for ACAT 3 - ACAT 5 non-NAS information technology investment programs (e.g., administrative systems, some mission support services, certain NAS investments);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Oversees execution of information technology investments assigned by the JRC and AMS ACAT policy; and
- Makes investment decisions in areas specified by the Joint Resources Council and AMS ACAT policy.

### **ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER**

- Require service analysis for designated services (e.g., en-route service, terminal service, regulatory service, certification service) within the line of business;
- Approve entry into initial investment analysis for ACAT 3 – ACAT 5 investment programs;
- Serve with the acquisition executive and Chief Financial Officer as the investment decision authority for non-ATO, non information technology investment programs within the line of business per AMS ACAT policy;
- Provide staff support to concept and requirements analysis and investment analysis activity for service needs within the line of business;
- Implement non-material solutions to a service need that emerge any time during mission analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business.

### **ACQUISITION EXECUTIVE**

- Manages AMS policy;
- Member of the Joint Resources Council and all other investment decision authorities except ACAT 3 – ACAT 5 non-NAS information technology investment programs;

- Jointly approves the acquisition program baseline with other designated members of the investment decision authority for all ACATs except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Chairs the Joint Resources Council at ACAT 1 and ACAT 2 investment decisions and at all acquisition program baseline change decisions except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Chairs service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

#### **VICE PRESIDENTS (ATO) AND SERVICE DIRECTORS (non-ATO)**

- Responsible and accountable for the delivery of services by service organizations under their management;
- Deliver status briefings for their service portfolio to the Joint Resources Council at semi-annual service-level reviews;
- Approve plans for concept and requirements definition and assign necessary human resources;
- Make the decision to enter concept and requirements definition after all entrance criteria are satisfied;
- Assess operational assets annually at a minimum to determine whether they should continue in service or be modified, upgraded, or removed from service;
- Approve plans for investment analysis and assign necessary human resources;
- Approve the program requirements document and the implementation strategy and planning document; and
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs.

#### **INVESTMENT DECISION AUTHORITY EXECUTIVE SECRETARIAT**

The IDA executive secretariat manages the investment decision-making process for all investment decision authorities except the ITEB. The JRC secretariat as the IDA executive secretariat does the following:

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of investment initiatives seeking an investment decision before scheduling an IDA decision;
- Coordinates JRC and ATO Executive Council meeting dates and arranges logistics;
- Manages the paper IDA process;
- Prepares records of decision from IDA meetings, minutes from JRC service-level reviews, and notes from meetings of subordinate review boards (with exception of the ITEB) related to investment decisions;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains IDA guidance documents and processes.

## **CAPITAL INVESTMENT TEAM**

The capital investment team (CIT) is composed of senior-level staff and managers from ATO-Finance, ATO-Operations Planning, Office of Financial Services, and management representatives of non-ATO offices when their programs are being reviewed; responsible for supporting the ATO Chief Financial Officer, the ATO Executive Committee and the Joint Resources Council in establishing and maintaining year-round prioritization of all ongoing and proposed investment programs, performing budget impact assessments for new proposed investment programs, preparing annual budget submissions, and preparing reprogramming of funds recommendations. Functional disciplines on the team include operational air traffic control expertise, system engineering, investment analysis, and capital and operations budgeting. The CIT:

- Reviews ATO investment programs and provides recommendations to the ATO Vice President of Finance prior to IDA presentation and approval to assess business justification, budget affordability, and program priority;
- Formulates ATO Capital R&D funding requirements;
- Reviews non-ATO investments proceeding to the IDA and provides business-based, objective recommendations to the ATO Vice President of Finance for use on the JRC;
- Performs corporate budget formulation and execution, including budget impact assessments, and recommendations of funding offsets and reprogramming due to program baseline changes, marks/pass-backs from OST, OMB, and Congress; and
- Establishes and maintains an up-to-date prioritization of all on-going and proposed investment programs for use in budget impact assessments and determination of offsets.

## **DIRECTOR, OFFICE OF SAFETY MANAGEMENT**

- Conducts independent operational test and evaluation for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the implementation strategy and planning document for programs designated for IOT&E.

## **PRODUCT OR SERVICE TEAM**

- Develops, procures, and delivers products or services for users or customers;
- Manages the acquisition program baseline of investment programs it is implementing and reports breaches to management;
- Updates the OMB Exhibit 300 annually for designated programs;
- Assists in development of the program requirements recorded in the program requirements document;
- Develops cost and schedule baselines during final investment analysis for the solution selected for implementation;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during solution implementation in the implementation strategy and planning document;
- Supports the conduct of post-implementation reviews;

- Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary by the type of program, but typically include: management of requirements; test and evaluation; deployment planning; logistics support; procurement planning; real property; acquisition, management, and disposal; configuration management; earned value management; human factors; environmental, occupational safety and health, and energy considerations; information technology; system engineering; security; system safety management; spectrum management; risk management; regulation and certification; telecommunications. The service organization is responsible to ensure that all relevant disciplines have been contacted whether or not they appear in the above list.

## **PRODUCT OR SERVICE TEAM LEADER**

- Serves as the source selection official for procurements subject to the IDA process unless otherwise designated by the IDA;
- Serves as spokesperson for the team;
- Guides, encourages, and coaches team members;
- Leads and facilitates team efforts without dominating the process;
- Keeps the team focused on consensus decision-making and ensures individual team members do not dominate team deliberations;
- Ensures all stakeholders are members of the team and that they participate in team decision-making;
- Leads development of cost, schedule, and performance baselines during final investment analysis;
- Determines the management approach for an investment program and applicable contracts based on program size, complexity, risk, and FAA earned value management policy;
- Manages the acquisition program baseline and reports performance information to management, including anticipated or actual breaches with corrective actions or a request for a revised program baseline;
- In consultation with the contracting officer, determines the acquisition strategy for obtaining the selected solution and establishes the appropriate earned value management and reporting applications for each contract;
- Assures FAA program needs are acquired through the appropriate source selection process and assures SIRs include adequate definition of requirements;
- Assures qualified technical evaluators, if required, assist the source evaluation team in the evaluation; and
- In consultation with the contracting officer, conducts the integrated baseline review, assisted by the contracting officer's technical representative;

## **CONTRACTING OFFICER**

- Serves as the source selection official for procurements not subject to the IDA decision process;
- Ensures, when applicable, conflict of interest documentation is obtained from the source selection official and all source evaluation team members; with legal counsel, determines

if any actual or apparent conflict of interest exists and if so resolves or mitigates the conflict;

- Ensures source evaluation team members are briefed on sensitivities of the source selection process, prohibition against unauthorized disclosure of information (including their responsibility to safeguard proposals and any documentation related to the source selection team proceedings), and requirements concerning conflict of interest; ensures source selection official and source evaluation team members provide nondisclosure of information statements;
- Coordinates communications with industry, controls all written documentation issued to industry, and conducts all debriefings;
- Participates during screening, selection, and debriefing phases of source selection to ensure fair treatment of all offerors;
- Issues letters, public announcements, screening information requests and amendments, and other procurement documents;
- Ensures the contract is signed by a contractor's representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies; and
- Executes, administers, and terminates contracts and makes related determinations and decisions that are contractually binding.

#### **SOURCE SELECTION OFFICIAL**

- Assures source evaluation team competence, cohesiveness, and effectiveness;
- Assigns responsibility to a source evaluation team member to mark all source selection sensitive information with the designation "source selection sensitive information."
- Approves source evaluation plans and assures the evaluation conforms to the stated evaluation criteria; and
- Makes down-select decisions and assumes full authority to select the source for award.

#### **SOURCE EVALUATION TEAM**

- Drafts all SIRs;
- Formulates the source evaluation plan;
- Reviews existing lessons-learned reports that provide meaningful insight into the procurement;
- Ensures an in-depth review and evaluation of each submitted screening document against FAA requirements and evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the SSO may make down selection and/or award decisions, and if requested by the SSO, prepares documentation for the SSO decision rationale;
- Oversees all procedural and administrative aspects of the procurement;
- Selects advisors to assist the team in its evaluation, if required;
- Participates in all debriefings; and
- Prepares a lessons learned memorandum after completing the source selection.

#### **OFFICE OF THE CHIEF COUNSEL**

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- Represents FAA legal interests on product or service teams engaged in the acquisition of goods and services;
- Exercises independent professional judgment, advises teams on relevant legal, governmental, and business issues, and promotes the legality and integrity of acquisition actions;
- Represents the FAA in connection with procurement-related litigation, alternative dispute resolution, and other matters; and
- Serves as core member of the Joint Resources Council.

## **OFFICE OF DISPUTE RESOLUTION FOR ACQUISITION**

- FAA Administrator's impartial administrative forum for adjudication of bid protests and contract disputes arising under the AMS;
- Provides dispute resolution services to the FAA and its private business partners, implementing FAA policy to utilize Alternative Dispute Resolution (ADR) to the maximum extent practicable;
- Conducts a streamlined adjudication process for matters un-resolvable through ADR;
- Provides "Findings and Recommendations", and issues orders and decisions supported by the case record and law, on behalf of the FAA Administrator;
- Promulgates and operates in accordance with rules of procedure; and
- Recommends changes to the Acquisition Management System.

## **SERVICE ORGANIZATIONS**

- Plan and manage resources as assigned by an IDA to deliver services within their service area of responsibility;
- Conduct service analysis for assigned services and plan service delivery;
- Maintain consistency between service planning and FAA strategic and performance goals;
- Work with the appropriate systems engineering organization to develop concepts of use and requirements, as required;
- Work with the appropriate systems engineering and operating organizations to determine realistic alternative solutions to service needs; and
- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

## **ATO OPERATIONS PLANNING ORGANIZATION**

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Interfaces with OST, OMB, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Oversees and coordinates the ATO strategic management process; and
- Provides test and evaluation services.

## **SYSTEMS ENGINEERING ORGANIZATIONS**

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- Work with both corporate mission analysis and service organizations to ensure consistency between service planning and the long-range strategic direction of the FAA;
- Work with service organizations to translate user needs into a sequenced and traceable architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;
- Work with service organizations to determine realistic alternative solutions to service need and assess their impact on the enterprise architecture;
- Work with service organizations to conduct service analysis and incorporate associated recommendations into the enterprise architecture; and
- Work with service organizations to develop the program requirements document.

## **ATO SYSTEMS ENGINEERING ORGANIZATION**

- Performs corporate-level mission analysis;
- Oversees the NAS segment of the enterprise architecture;
- Coordinates service analysis activity across service organizations to ensure alignment with FAA strategic and performance goals and to eliminate redundant activity, duplicate benefits, service gaps, and service overlap;
- Develops and maintains standards and tools for conducting service analysis;
- Assists service organizations in establishing a service analysis capability and conducting service analysis; and
- Leads planning and activities for concept and requirements definition

## **CHIEF FINANCIAL OFFICER**

- Jointly approves the acquisition program baseline with other IDA members except ACAT 3 – ACAT 5 non-NAS information technology investment programs;
- Serves as a core member of the Joint Resources Council; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

## **CHIEF INFORMATION OFFICER**

- Serves as a core member of the Joint Resources Council;
- Chairs the Information Technology Executive Board;
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB;
- Jointly approves the acquisition program baseline with other IDA members for ACAT 1 – ACAT 2 investment programs and for ACAT 3 – ACAT 5 non-NAS information technology investment programs; and
- Oversees the enterprise architecture.

## **AIO VALUE MANAGEMENT OFFICE**

- Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Exhibit 300s;

- Independently scores OMB Exhibit 300s and provides feedback to service organizations and the IDA Secretariat for designated investment programs;
- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Information Technology Executive Board, Department of Transportation, and Office of Management and Budget; and
- Conducts EVM assessments for programs requiring submission of an Exhibit 300 to OMB and ensures EVM transition plans for those programs are implemented effectively.

### **EARNED VALUE MANAGEMENT FOCAL POINT**

- Serves as the FAA EVM executive agent;
- Assists program managers and business managers to apply EVM requirements to capital investment programs and contracts;
- Coordinates EVM activities for FAA with other government agencies and with industry and professional associations; and
- Collects monthly schedule and cost performance data, variance analysis and corrective action plans for major programs.

### **IN-SERVICE DECISION SECRETARIAT**

The in-service decision secretariat manages the deployment planning process for the JRC and the ATO Executive Council. The secretariat:

- Coordinates with the IDA executive secretariat to verify that IDA readiness criteria for a final investment decision have been satisfied;
- Facilitates the efforts of service organizations to ensure timely and effective in-service decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an in-service decision before scheduling the program for a stakeholder and in-service decision meeting;
- Prepares records of decision; and
- Tracks ISD action plans until closure.

### **ACQUISITION EXECUTIVE BOARD**

A corporate body that assists and supports the acquisition executive and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, tools, and training. The AEB:

- Reviews, authorizes, and oversees development and implementation of acquisition management policy, process, practices, procedures, tools, and training at all organizational levels;
- For authorized change proposals, charters and provides resources for cross-functional work groups to conduct feasibility and cost/benefit analyses for proposed policy, guidance, practice, and procedure changes;

- Directs, controls, and approves all compliance processes associated with execution of any aspect of AMS; and
- Directs and oversees the Acquisition System Advisory Group.

**Red Line Content: Acquisition Management Policy:**  
**Appendix A: Roles and Responsibilities**

**JOINT RESOURCES COUNCIL**

- Approves the FAA investment portfolio each year as part of the budget submission process;
- Approves the FAA enterprise architecture;
- Makes the decision to approve ~~an new~~ **ACAT 1 or 2** investment program for inclusion in a service portfolio at the conclusion of investment analysis;
- Selects a solution **for ACAT 1 and 2 investment programs**;
- Establishes **ACAT an 1 and 2** investment ~~program~~ **programs** and ~~assigns~~ **assign** ~~it~~ **execution** to a service organization;
- Baselines program requirements ~~in Exhibit 300~~ **for ACAT 1 program and 2** ~~baseline~~ **investment programs in attachment the 1: final program** ~~Program Requirements~~ **requirements document**;
- Approves the ~~Exhibit 300~~ **acquisition** program baseline **for ACAT 1 and 2 investment programs**;
- Commits the FAA to full funding of the approved investment program phase **for ACAT 1 and 2 p investment programs**;
- Identifies any future corporate decisions and levels of empowerment for the service organization during solution implementation and in-service management **for ACAT 1 and 2 investment programs**;
- Makes ~~Exhibit 300~~ **acquisition** program baseline change decisions that alter program performance, cost, ~~schedule~~, and ~~benefits~~ **schedule** baselines during solution implementation ~~or for in-service~~ **ACAT management 1 and 2 investment programs**;
- Approves FAA budget submissions for the RE&D, and F&E appropriations, and reviews the O&M appropriation. The Administrator approves the O&M budget before submission to the Office of the Secretary for Transportation;
- Makes production and in-service decisions or assigns approval authority to another organization **for ACAT 1 and 2 investment programs**; and
- Participates in service-level reviews to manage ongoing investment programs, including operational assets.

The Joint Resources Council has the following core members:

- Acquisition Executive;
- Chief Operating Officer;
- Associate Administrator for Aviation Safety;
- Chief Information Officer;
- General Counsel;

Chief Financial Officer;

- Associate Administrator for Region and Center Operations;
- Associate Administrator for Airports; and
- ATO Financial Officer.

The following members attend JRC meetings when the decision concerns their organizational responsibilities:

- Associate Administrator for Commercial Space Transportation;
- Assistant Administrator for Aviation Policy, Planning, and Environment; and
- Director for Joint Planning and Development Office.

### **ATO EXECUTIVE COUNCIL**

- ~~Reviews and recommends~~ *Serves to* ~~with~~ the ~~Joint Resources~~ *acquisition* ~~Council for approval~~ *executive as the* investment ~~opportunities~~ *decision authority* for assigned elements of the enterprise ~~ATO ACAT 3 and 4 architecture~~ *investment programs* (e.g., air traffic control services and the National Airspace System);
- Coordinates and integrates activity across ~~service organizations for assigned elements of the enterprise~~ *ATO architecture* ~~service units~~ to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy; and
- Oversees execution of ~~these~~ *ACAT 3 - 5* investment programs ~~and as~~ assigned by the Joint Resources Council.

### **INFORMATION TECHNOLOGY EXECUTIVE BOARD**

- Reviews and approves OMB Exhibit 300s for designated information technology capital investments during the annual budget cycle before submission to the Department of Transportation and OMB;
- ~~Reviews and recommends~~ *Serves to* ~~as~~ the ~~Joint~~ *investment* ~~Resources Council~~ *decision authority* for ~~approval investment opportunities~~ *ACAT* for assigned elements ~~3 - 5 of non-~~ *NAS* the enterprise architecture *information technology investment programs* (e.g., administrative systems, some mission support services, certain NAS investments);
- Coordinates and integrates activity across service organizations for assigned elements of the enterprise architecture to ensure resources are directed at priority FAA strategic and performance goals and to ensure there is no overlap or redundancy;
- Oversees execution of information technology investments assigned by the JRC ~~or AMS~~ *ACAT policy*; and
- Makes investment decisions in areas specified by the Joint Resources Council ~~or AMS~~ *ACAT policy*.

### **ASSOCIATE AND ASSISTANT ADMINISTRATORS AND THE CHIEF OPERATING OFFICER**

- Require service analysis for designated business areas within the line of business;
- Approve entry into initial investment analysis;
- Recommend changes to the enterprise architecture;
- ~~Provide staff support~~ Serves to with the ~~concept~~ acquisition executive and ~~requirements analysis~~ Chief Financial and Officer as the investment ~~analysis~~ decision authority for ~~service~~ non-ATO, needs non information technology investment programs within the line of business; ~~Jointly approve the Exhibit~~ per AMS ACAT 300 policy;
- ~~Provide program baseline with staff support to~~ the ~~Acquisition Executive,~~ concept ~~Chief Financial and requirements Officer,~~ analysis and ~~Chief Information investment Officer,~~ analysis for ~~programs~~ service needs within the line of business;
- Implement a non-material solution to a service need that emerges any time during mission analysis or investment analysis; and
- Oversee investment program execution by service organizations within the line of business.

## ACQUISITION EXECUTIVE

- Manages ~~Acquisition Management System~~ AMS policy;

Member of the Joint Resources Council and all other investment decision authorities except ACAT 3 - 5 non-NAS information technology investment programs;

- Jointly approves the ~~Exhibit 300~~ acquisition program baseline with ~~the Chief~~ other ~~Financial~~ designated ~~Officer,~~ members ~~Chief Information of the Officer,~~ investment and ~~Associate or Assistant Administrator,~~ decision authority for all ACATs (non- ~~ATO) or~~ except ~~Chief Operating~~ ACAT 3 Officer (ATO), ~~of~~ 5 ~~the~~ non-NAS ~~sponsoring line of business~~ information technology investment programs;
- Chairs the Joint Resources Council at ~~the~~ ACAT 1 and 2 investment ~~decision~~ decisions and at ~~Exhibit~~ all 300 acquisition program baseline change decisions except ACAT 3 - 5 non-NAS information technology investment programs;
- Chairs service-level reviews; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

## VICE PRESIDENTS (ATO) AND SERVICE DIRECTORS (non-ATO)

- Have overall responsibility and accountability for the delivery of services by the service unit or service directorate under their management;
- Deliver status briefings for their service portfolio to the Joint Resources Council at semi-annual service-level reviews;
- Approve plans for concept and requirements definition and assign necessary human resources;
- Make the decision to enter concept and requirements definition after all entrance criteria are satisfied;
- Assess operational assets annually at a minimum to determine whether they should continue in service or be modified, upgraded, or removed from service;

- Approve plans for investment analysis and assign necessary human resources;
- Approve ~~attachments~~ ~~the~~ (program requirements) document and ~~3the~~ (implementation strategy and planning) ~~of the Exhibit 300 program baseline~~ document; ~~and~~
- Oversee the annual update and submission of the OMB 300 Exhibit for designated investment programs; ~~and Approve updates to the implementation strategy and planning document during in-service management and forwards signed updates to the JRC Executive Secretariat.~~

## ~~JOINT RESOURCES COUNCIL~~ INVESTMENT DECISION AUTHORITY EXECUTIVE SECRETARIAT

The ~~JRC~~ IDA ~~Executive Secretariat~~ executive secretariat manages the investment decision-making process for ~~the JRC~~ call and for the ATO ~~Executive Council~~ investment decision authorities except the ITEB. The ~~Joint JRC Executive~~ Resources Council ~~Secretariat~~ Secretariat serves is the IDA executive secretariat and:

- Facilitates the efforts of service organizations to ensure timely and effective investment decision-making;
- Uses AMS-based criteria to evaluate the status of ~~each program~~ investment initiatives seeking an investment decision before scheduling ~~the program for a JRC or JRC subordinate investment review board~~ a IDA decision;
- Coordinates JRC and ATO Executive Council meeting dates and arranges logistics;
- ~~Processes JRC related tailoring requests;~~ Manages the paper ~~JRC~~ IDA process;
- Prepares ~~records of decision from JRC~~ IDA meetings, ~~minutes from JRC service-level reviews, and notes from ATO~~ meetings ~~Executive of subordinate Council~~ review boards meetings with exception of the ITEB related to investment decisions;
- Maintains the official repository of investment decision documentation, records of decision, meeting minutes and assigned action items; and
- Develops and maintains ~~JRC~~ IDA guidance documents and processes.

## CAPITAL INVESTMENT TEAM

The capital investment team (CIT) is composed of senior-level staff and managers from ATO-Finance, ATO-Operations Planning, the FAA's Office of Financial Services, and management representatives of non-ATO offices when their programs are being reviewed; responsible for supporting the ATO Chief Financial Officer, the ATO-Executive Committee and the Joint Resources Council in establishing and maintaining year-round prioritization of all ongoing and proposed investment programs, performing budget impact assessments for new proposed investment programs, preparing annual budget submissions, and preparing reprogramming of funds recommendations. Functional disciplines on the team include operational air traffic control expertise, system engineering, investment analysis, and capital and operations budgeting. The CIT:

- Reviews ATO investment programs and provides recommendations to the ATO Vice President of Finance prior to JRC presentation and approval to assess business justification, budget affordability, and program priority;

- Formulates ATO Capital R&D funding requirements;
- Reviews non-ATO investments proceeding to the JRC and provides business based, objective recommendations to the ATO Vice President of Finance for use on the JRC;
- Performs corporate budget formulation and execution, including budget impact assessments, and recommendations of funding offsets and reprogramming due to program baseline changes, marks/pass-backs from OST, OMB, and Congress; and
- Establishes and maintains an up-to-date prioritization of all on-going and proposed investment programs for use in budget impact assessments and determination of offsets.

## DIRECTOR, OFFICE OF SAFETY MANAGEMENT

- Conducts independent operational test and evaluation for programs as directed by the Joint Resources Council; and
- Co-approves the test section of the ~~Exhibit 300 program baseline attachment 3: Implementation~~implementation ~~Strategy~~strategy and ~~Planning~~planning document for programs designated for IOT&E.

## PRODUCT OR SERVICE TEAM

- Develops, procures, and delivers products or services for users or customers;
- Manages ~~each~~ the investmentacquisition program's ~~Exhibit 300 program baseline~~baseline of investment programs ~~and it is predicts~~implementing and reports breaches to management;
- Updates the OMB Exhibit 300 annually for designated programs;
- Assists in development of the program requirements recorded in ~~attachment 1: Program Requirements~~ of the ~~Exhibit 300 program baseline~~requirements document;
- Develops cost and schedule baselines for alternative solutions during final- investment analysis;
- Acquires new or improved capability for services and products throughout their lifecycle;
- Keeps planning current during- solution implementation ~~and in-service management~~ in the ~~Exhibit 300 program baseline attachment 3: Implementation~~implementation ~~Strategy~~strategy and ~~Planning~~planning document;
- Supports the conduct of post-implementation reviews;
- ~~Assesses operational assets annually at a minimum to determine whether they should continue in service as is or be modified, upgraded, or removed from service; and~~ Ensures coordination and obtains input from subject-matter experts in critical functional disciplines. These disciplines vary, depending on the type of program, but typically include; management of requirements; test and evaluation; deployment planning; logistics support; procurement planning; real property; acquisition, management, and disposal; configuration management; earned value management; human factors; environmental, occupational safety and health, and energy considerations; information technology; system engineering; security; system safety management; spectrum management; risk management; regulation and certification; telecommunications. The service organization is responsible to ensure that all relevant disciplines have been contacted whether or not they appear in the above list.

## PRODUCT OR SERVICE TEAM LEADER

- Serves as the ~~Source Selection Official~~source selection official if a procurement is subject to the ~~JRC IDA investment~~-decision process (unless otherwise designated by the ~~JRC IDA~~);
- Serves as spokesperson for the team;
- Guides, encourages, and coaches team members;
- Leads and facilitates team efforts without dominating the process;
- Keeps the team focused on consensus decision-making and ensures individual team members do not dominate team deliberations;
- Ensures all program stakeholders are members of the team and that they participate in team decision-making;
- Leads development of an investment program's cost, schedule, benefits, and performance program baseline and presents it for review and approval;
- Determines the management approach for an investment program and applicable contracts based on program size, complexity, risk, and FAA-earned value management-policy;
- Manages the acquisition program baseline and reports performance information to management, including anticipated or actual breaches with corrective actions or a request for a revised program baseline;
- In consultation with the ~~Contracting Officer~~contracting officer, determines the acquisition strategy for obtaining the selected solution and establishes the appropriate earned value management and reporting applications for each contract;
- Assures FAA's program needs are acquired through the appropriate source selection process and- assures SIRs include adequate definition of requirements;
- Assures qualified technical evaluators, if required, assist the source evaluation team in the evaluation; and
- In consultation with the ~~Contracting Officer~~contracting officer, conducts the ~~Integrated~~integrated Baseline Reviewbaseline review, assisted by the ~~Contracting Officer~~contracting officer's ~~Technical~~technical ~~Representative~~representative;

## CONTRACTING OFFICER

- Serves as the ~~Source Selection Official~~source selection official for procurements not subject to the ~~JRC IDA investment~~-decision process;
- Ensures, when applicable, conflict of interest documentation is obtained from the ~~Source Selection Official~~source selection official and all source evaluation- team members; with legal counsel,- determines if any actual- or apparent conflict of interest exists and if so resolves or mitigates the conflict;
- Ensures source evaluation- team members are briefed on sensitivities of the source selection process,- prohibition against unauthorized disclosure of information (including their responsibility to safeguard proposals and any documentation related to the source selection team proceedings), and- requirements concerning conflict of interest;- ensures ~~Source Selection Official~~source selection official and source evaluation- team members provide- nondisclosure of information statements;

- Coordinates communications with industry, controls all written documentation issued to industry, and conducts all debriefings;
- Participates during screening, selection, and debriefing phases of source selection to ensure fair treatment of all offerors;
- Issues letters, public announcements, screening information requests and amendments, and other procurement documents;
- Ensures the contract is signed by a contractor's representative with the authority to bind the contractor; with legal counsel, ensures all contractual documents comply with applicable laws, regulations, and policies; *and*
- Executes, administers, and terminates contracts and makes related determinations and decisions that are contractually binding.

### **SOURCE SELECTION OFFICIAL**

- Assures source evaluation team competence, cohesiveness, and effectiveness;
- Assigns responsibility to a source evaluation team member to mark all source selection sensitive information with the designation "source selection sensitive information."
- Approves source evaluation plans and assures the evaluation conforms to the stated evaluation criteria; and
- Makes down-select decisions and assumes full authority to select the source for award.

### **SOURCE EVALUATION TEAM**

- Drafts all SIRs;
- Formulates the source evaluation plan;
- Reviews existing lessons learned reports that provide meaningful insight into the procurement;
- Ensures an in-depth review and evaluation of each submitted screening document against FAA requirements and stated evaluation criteria;
- Prepares the source evaluation report (including recommendations, if requested) so the SSO may make down selection and/or award decisions, and if requested by the SSO, prepares documentation for the SSO's decision rationale;
- Oversees all procedural and administrative aspects of the procurement;
- Selects advisors to assist the team in its evaluation, if required;
- Participates in all debriefings; and
- Prepares a lessons learned memorandum after completing the source selection.

### **OFFICE OF THE CHIEF COUNSEL**

- Represents the FAA's legal interests on product or service teams engaged in the acquisition of goods and services in support of the FAA's mission;
- Exercises independent professional judgment, advises teams on relevant legal, governmental, and business issues, and promotes the legality and integrity of acquisition actions;
- Represents the FAA in connection with procurement-related litigation, alternative dispute resolution and other matters;

- Serves as core member of the Joint Resources Council.

## **OFFICE OF DISPUTE RESOLUTION FOR ACQUISITION**

- FAA Administrator's impartial administrative forum for adjudication of bid protests and contract disputes arising under the [Acquisition Management System](#) **AMS**;
- Provides dispute resolution services to the FAA and its private business partners, implementing the FAA's policy to utilize Alternative Dispute Resolution (ADR) to the maximum extent practicable;
- Conducts a streamlined adjudication process for matters un-resolvable through ADR;
- Provides "Findings and Recommendations", and issues orders and decisions supported by the case record and law, on behalf of the FAA Administrator;
- Promulgates and operates in accordance with rules of procedure; and
- Recommends changes to the Acquisition Management System.

## **SERVICE ORGANIZATIONS**

- Plan and manage resources as assigned by [the Joint Resources Council](#) **IDA** to deliver services within their service area of responsibility;
- Conduct service analysis for assigned services and plan service delivery;
- Maintain consistency between service [area](#)-planning and FAA strategic and performance goals;
- Work with the appropriate systems engineering organization to develop concepts of use and requirements, as required;
- Work with the appropriate systems engineering organization to determine realistic alternative solutions to service [area](#)-needs; and
- Identify, justify, obtain, and manage research, study, and analysis within their service area of responsibility.

## **ATO OPERATIONS PLANNING ORGANIZATION**

- Manages the corporate research budgeting process;
- Coordinates annual development of the National Aviation Research Plan;
- Interfaces with OST, OMB, Congress, trade organizations, industry, international organizations, and other government organizations for FAA-level research issues; and
- Oversees and coordinates the ATO strategic management process; and
- Provides test and evaluation services.

## **SYSTEMS ENGINEERING ORGANIZATIONS**

- Work with both corporate mission analysis and service organizations to ensure consistency between service area planning and the long-range strategic direction of the FAA;
- Work with service organizations to translate user needs into a sequenced and traceable architecture that defines the functions and sub-functions necessary to achieve intended services or operational capability;

- Work with service organizations to determine realistic alternative solutions to service need and assess their impact on the enterprise architecture;
- Work with service organizations to conduct service analysis and incorporate associated recommendations into the enterprise architecture; and
- Work with service organizations to develop the ~~Exhibit 300~~ program ~~baseline attachment~~ ~~+~~ ~~Program~~requirements ~~Requirements~~document.

## ATO SYSTEMS ENGINEERING ORGANIZATION

- Performs corporate-level mission analysis;
- Oversees the NAS segment of the enterprise architecture;
- Coordinates service analysis activity across service organizations to ensure alignment with FAA strategic and performance goals and to eliminate redundant activity, duplicate benefits, service gaps, and service overlap;
- Develops and maintains standards and tools for conducting service analysis;
- Assists service organizations in establishing a service analysis capability and conducting service analysis; and
- Leads planning and activities for concept and requirements definition

## CHIEF FINANCIAL OFFICER

- Jointly approves the ~~Exhibit 300~~ acquisition program baseline with ~~the Acquisition Executive, Chief Information~~other ~~Officer, IDA and the Associate or Assistant Administrator~~members except ACAT 3 - 5 (non-ATO) or ~~Chief Operating Officer (ATO) of the sponsoring line of business at NAS~~ ~~the final~~information technology investment decisionprograms;
- Serves as a core member of the Joint Resources Council; and
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB.

## CHIEF INFORMATION OFFICER

- Serves as a core member of the Joint Resources Council;
- Chairs the Information Technology Executive Board;
- Approves OMB Exhibit 300s for designated capital investments before submission to the Department of Transportation and OMB;
- Jointly approves the ~~Exhibit 300~~ acquisition program baseline with ~~the Acquisition Executive, Chief Financial Officer, and~~other ~~the Associate or Assistant Administrator~~IDA members for ACAT 1 (non-ATO) or ~~Chief Operating~~2 investment ~~Officer (ATO)~~programs of the sponsoring line of business and for ACAT 3 - 5 at non- ~~NAS~~ ~~the final~~information technology investment decisionprograms; and
- Oversees the enterprise architecture.

## AIO VALUE MANAGEMENT OFFICE

- Provides process, guidance, training, and consultation to service organizations in the preparation of OMB Exhibit 300s;
- Independently scores OMB Exhibit 300s and provides feedback to service organizations ~~Independently scores Exhibit 300 program baselines and provides feedback to the JRC~~the IDA Secretariat for designated Secretariat investment programs;
- Consolidates and reports major program schedule and cost performance data, variance analysis, and corrective action plans to the Information Technology Executive Board, Department of Transportation, and Office of Management and Budget; and
- Conducts EVM assessments for programs requiring submission of an Exhibit 300 to OMB and ensures EVM transition plans for those programs are implemented effectively.

## EARNED VALUE MANAGEMENT FOCAL POINT

- Serves as the FAA EVM executive agent;
- Assists program managers and business managers to apply EVM ~~system~~ requirements to capital investment programs and contracts;
- Coordinates EVM activities for FAA with other government agencies and with industry and professional associations; and
- Collects monthly schedule and cost performance data, variance analysis and corrective action plans for major programs.

## IN-SERVICE DECISION SECRETARIAT

The in-service decision secretariat manages the deployment planning process for the JRC and for the ATO Executive Council. The secretariat:

- Coordinates with the ~~JRC~~ IDA executive secretariat to verify that ~~JRC~~ IDA readiness criteria for a final investment decision have been satisfied;
- Facilitates the efforts of service organizations to ensure timely and effective in-service decision-making;
- Uses AMS-based criteria to evaluate the status of each program seeking an in-service decision before scheduling the program for a stakeholder and in-service decision meeting;
- Prepares records of decision; and
- Tracks ISD action plans until closure.

~~Originators develop proposed changes in conjunction with primary users of the policy or guidance, or in the case of a complex change, with an ad hoc workgroup.~~

## ACQUISITION EXECUTIVE BOARD

A corporate body that assists and supports the ~~FAA Acquisition~~ acquisition Executive ~~Executive~~ and Joint Resources Council establish, change, communicate, and implement acquisition management policy, practices, procedures, tools, and training. The AEB:

- Reviews, authorizes, and oversees development and implementation of acquisition management policy, process, practices, procedures, tools, and training at all organizational levels;
  - For authorized change proposals, charters and provides resources for cross-functional work groups to conduct feasibility and cost/benefit analyses for proposed policy, guidance, practice, and procedure changes;
  - Directs, controls, and approves all compliance processes associated with execution of any aspect of AMS; and
  - Directs and oversees the Acquisition System Advisory Group.
- 

### **Section 3.2.1.2 : Policy**

**Old Content:** Acquisition Management Policy:

#### **Section 3.2.1.2 : Policy**

Procurement planning is an indispensable component of the total acquisition process. Service organizations are expected to use procurement planning as an opportunity to evaluate/review the entire procurement process, so that sound judgments and decision making will facilitate the success of the overall program. For procurements not covered by an Exhibit 300 Program Baseline with Attachment 3: Implementation Strategy and Planning, procurement planning should be appropriate and proportionate to the complexity and dollar value of the requirement.

**New Content:** Acquisition Management Policy:

#### **Section 3.2.1.2 : Policy**

Procurement planning is an indispensable component of the total acquisition process. Service organizations are expected to use procurement planning as an opportunity to evaluate/review the entire procurement process, so that sound judgments and decision making will facilitate the success of the overall program. For procurements not covered by an implementation strategy and planning document, procurement planning should be appropriate and proportionate to the complexity and dollar value of the requirement.

**Red Line Content:** Acquisition Management Policy:

#### **Section 3.2.1.2 : Policy**

~~Procurement~~**Procurement** planning is an indispensable component of the total acquisition process. Service organizations are expected to use procurement planning as an opportunity to evaluate/review the entire procurement process, so that sound judgments and decision making will facilitate the success of the overall program. For procurements not covered by an ~~Exhibit~~**implementation** 300~~strategy~~ Program Baseline with Attachment 3: ~~Implementation Strategy and Planning~~**planning document**, procurement planning should be appropriate and proportionate to the complexity and dollar value of the requirement.

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#### **Section 3.2.2.4 : Single-Source Selection**

**Old Content:** Acquisition Management Policy:

#### **Section 3.2.2.4 : Single-Source Selection**

The FAA may contract with a single-source when in FAA's best interest and the rational basis for the decision is documented. This rational basis may be based on actions necessary and important to support FAA's mission, such as emergencies, standardization, and only source available to satisfy a requirement within the time required. For procurements under \$10,000, there is no requirement for competition or single-source justification; requirements must not be split to meet this exception. This section 3.2.2.4 is not applicable to noncompetitive awards made to socially and economically disadvantaged businesses (SEDB)/(8(a)) or service-disabled veteran owned small businesses (SDVOSB) under AMS policy 3.6.

The decision to contract with a single-source may be made as part of overall program planning. The rational basis must be documented and approved as a part of program planning in the Exhibit 300 and attachments, a procurement plan, or as a separate document. If an Exhibit 300 is not required and the service organization determines that a procurement plan is unnecessary, an independent single-source justification must be documented and endorsed by the service organization and approved by the CO.

Market analysis should be conducted to support each single-source decision, except for emergencies. The method and extent of the analysis depends on the requirement.

The CO must document the objective criteria supporting the rational basis for the decision in writing. Examples of information that might be documented include results of market analysis, cost or price data, unique qualifications or performance capability, and past performance. Mere conclusions, without adequate objective supporting data, are insufficient.

After the decision to contract with a single source has been approved, a public announcement must be made for any action over \$100,000, except in emergencies. The purpose of the announcement is to inform industry about the basis for the decision to contract with the selected source.

A basic contract may be modified to exercise an option, or to satisfy a follow-on procurement for more of the same products or services without seeking additional competition when, based on market analysis, there is a rational basis not to compete the requirement and the rational basis is documented and approved as discussed in this subsection.

**New Content:** Acquisition Management Policy:

#### **Section 3.2.2.4 : Single-Source Selection**

The FAA may contract with a single-source when in FAA's best interest and the rational basis for the decision is documented. This rational basis may be based on actions necessary and important to support FAA's mission, such as emergencies, standardization, and only source available to satisfy a requirement within the time required. For procurements under \$10,000, there is no requirement for competition or single-source justification; requirements must not be

split to meet this exception. This section 3.2.2.4 is not applicable to noncompetitive awards made to socially and economically disadvantaged businesses (SEDB)/(8(a)) or service-disabled veteran owned small businesses (SDVOSB) under AMS policy 3.6.

The decision to contract with a single-source may be made as part of overall program planning. The rational basis must be documented and approved as a part of program planning in the implementation strategy and planning document, a procurement plan, or as a separate document. If an Exhibit 300 is not required and the service organization determines that a procurement plan is unnecessary, an independent single-source justification must be documented and endorsed by the service organization and approved by the CO.

Market analysis should be conducted to support each single-source decision, except for emergencies. The method and extent of the analysis depends on the requirement.

The CO must document the objective criteria supporting the rational basis for the decision in writing. Examples of information that might be documented include results of market analysis, cost or price data, unique qualifications or performance capability, and past performance. Mere conclusions, without adequate objective supporting data, are insufficient.

After the decision to contract with a single source has been approved, a public announcement must be made for any action over \$100,000, except in emergencies. The purpose of the announcement is to inform industry about the basis for the decision to contract with the selected source.

A basic contract may be modified to exercise an option, or to satisfy a follow-on procurement for more of the same products or services without seeking additional competition when, based on market analysis, there is a rational basis not to compete the requirement and the rational basis is documented and approved as discussed in this subsection.

**Red Line Content: Acquisition Management Policy:  
Section 3.2.2.4 : Single-Source Selection**

~~For~~**For** procurements not addressed in a program with an approved ~~Exhibit~~**implementation** 300 ~~Attachment 3: Implementation Strategy~~**strategy** and ~~Planning~~**planning document**, the market analysis is to initiate industry involvement, develop and refine the procurement strategy, obtain price information, determine whether commercial items exist, determine the level of competition, identify market practices, or obtain comments on requirements. The magnitude and degree of formality of the market analysis should be proportionate to the contemplated procurement. The market analysis may be as simple as a telephone call or as formal as a market survey advertisement to learn of industry capabilities. All market analyses, formal or informal, should be appropriately documented.

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**Section 3.2.3.3.1.2 : Pre- and Post Award Audits**

**Old Content:** Acquisition Management Policy:  
**Section 3.2.3.3.1.2 : Pre- and Post Award Audits**

Pre-award audits and periodic incurred cost audits by a contractor's cognizant audit agency are the preferred mechanism to assist the Contracting Officer in ensuring the validity of indirect and direct cost billed under cost reimbursement contracts. The Contracting Officer is responsible for ensuring that the indirect and direct costs paid under a cost reimbursement contract are allowable. In situations where a cost-incurred audit is not obtained, the Contracting Officer will still ensure that only allowable costs are paid. The sponsoring organization will fund required pre- and post award audits and will include an estimate for the cost of the audits in the Exhibit 300 Program Baseline. The Exhibit 300 Attachment 3: Implementation Strategy and Planning will also address the approach, responsible organizations, and activities for obtaining audits. ([See appropriate templates for additional guidance](#))

**New Content:** Acquisition Management Policy:  
**Section 3.2.3.3.1.2 : Pre- and Post Award Audits**

Pre-award audits and periodic incurred cost audits by a contractor's cognizant audit agency are the preferred mechanism to assist the contracting officer in ensuring the validity of indirect and direct cost billed under cost reimbursement contracts. The contracting officer is responsible for ensuring that the indirect and direct costs paid under a cost reimbursement contract are allowable. In situations where a cost-incurred audit is not obtained, the contracting officer will still ensure that only allowable costs are paid. The sponsoring organization will fund required pre- and post award audits and will include an estimate for the cost of the audits in the acquisition program baseline. The implementation strategy and planning document will also address the approach, responsible organizations, and activities for obtaining audits. ([See appropriate templates for additional guidance](#))

**Red Line Content:** Acquisition Management Policy:  
**Section 3.2.3.3.1.2 : Pre- and Post Award Audits**

Pre-award audits and periodic incurred cost audits by a contractor's cognizant audit agency are the preferred mechanism to assist the ~~Contracting Officer~~contracting officer in ensuring the validity of indirect and direct cost billed under cost reimbursement contracts. The ~~Contracting Officer~~contracting officer is responsible for ensuring that the indirect and direct costs paid under a cost reimbursement contract are allowable. In situations where a cost-incurred audit is not obtained, the ~~Contracting Officer~~contracting officer will still ensure that only allowable costs are paid. The sponsoring organization will fund required pre- and post award audits and will include an estimate for the cost of the audits in the ~~Exhibit 300 Program Baseline~~acquisition baseline. The ~~Exhibit 300 Attachment 3: Implementation Strategy and Planning~~implementation strategy and ~~Planning~~planning document will also address the approach, responsible organizations, and activities for obtaining audits. ([See appropriate templates for additional guidance](#))

### **Section 3.2.1.3 : Guidance and Principles**

**Old Content:** Acquisition Management Policy:

#### **Section 3.2.1.3 : Guidance and Principles**

For procurements not covered in a program with an Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning, the following elements should be considered in planning for procurements.

**New Content:** Acquisition Management Policy:

#### **Section 3.2.1.3 : Guidance and Principles**

For procurements not covered in a program with an implementation strategy and planning document, the following elements should be considered in planning for procurements.

**Red Line Content:** Acquisition Management Policy:

#### **Section 3.2.1.3 : Guidance and ~~Principles~~ Principles**

For procurements not covered in a program with an ~~Exhibit 300~~implementation strategy  
~~Program Baseline Attachment 3: Implementation Strategy and Planning~~planning document, the following elements should be considered in planning for procurements.

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### **Section 3.2.1.3.8 : Single-Source Approval**

**Old Content:** Acquisition Management Policy:

#### **Section 3.2.1.3.8 : Single-Source Approval**

The service organization determines whether the procurement should be conducted on a competitive or single source basis. The rationale for the single source procurement should be included in Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning or the procurement plan. If an Exhibit 300 Program Baseline and attachments are not required, and the service organization determines that based on the complexity of the procurement a procurement plan will be established, the procurement plan should include the justification for the single-source decision. Approval of Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning or the procurement plan constitutes approval of a single-source procurement; no further approval or documentation is necessary.

**New Content:** Acquisition Management Policy:

#### **Section 3.2.1.3.8 : Single-Source Approval**

The service organization determines whether the procurement should be conducted on a competitive or single source basis. The rationale for the single source procurement should be included in the implementation strategy and planning document or the procurement plan. If an implementation strategy and planning document is not required and the service organization determines that based on the complexity of the procurement a procurement plan will be established, the procurement plan should include the justification for the single-source decision.

Approval of the implementation strategy and planning document or the procurement plan constitutes approval of a single-source procurement; no further approval or documentation is necessary.

**Red Line Content:** Acquisition Management Policy:  
**Section 3.2.1.3.8 : Single-Source ~~Approval~~ Approval**

The service organization determines whether the procurement should be conducted on a competitive or single source basis. The rationale for the single source procurement should be included in ~~Exhibit 300 Program Baseline Attachment 3:~~the Implementation Strategy~~implementation strategy~~ and ~~Planning~~planning document or the procurement plan. If an ~~Exhibit 300~~implementation Program~~strategy~~ ~~Baseline~~ and ~~attachments~~planning document ~~are~~is not required, and the service organization determines that based on the complexity of the procurement a procurement plan will be established, the procurement plan should include the justification for the single-source decision. Approval of ~~Exhibit 300 Program Baseline Attachment 3:~~the Implementation Strategy~~implementation strategy~~ and ~~Planning~~planning document or the procurement plan constitutes approval of a single-source procurement; no further approval or documentation is necessary.

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**Section 3.2.2.4 : Single-Source Selection**

**Old Content:** Acquisition Management Policy:  
**Section 3.2.2.4 : Single-Source Selection**

The FAA may contract with a single-source when in FAA's best interest and the rational basis for the decision is documented. This rational basis may be based on actions necessary and important to support FAA's mission, such as emergencies, standardization, and only source available to satisfy a requirement within the time required. For procurements under \$10,000, there is no requirement for competition or single-source justification; requirements must not be split to meet this exception. This section 3.2.2.4 is not applicable to noncompetitive awards made to socially and economically disadvantaged businesses (SEDB)/(8(a)) or service-disabled veteran owned small businesses (SDVOSB) under AMS policy 3.6.

The decision to contract with a single-source may be made as part of overall program planning. The rational basis must be documented and approved as a part of program planning in the Exhibit 300 and attachments, a procurement plan, or as a separate document. If an Exhibit 300 is not required and the service organization determines that a procurement plan is unnecessary, an independent single-source justification must be documented and endorsed by the service organization and approved by the CO.

Market analysis should be conducted to support each single-source decision, except for emergencies. The method and extent of the analysis depends on the requirement.

The CO must document the objective criteria supporting the rational basis for the decision in writing. Examples of information that might be documented include results of market analysis,

cost or price data, unique qualifications or performance capability, and past performance. Mere conclusions, without adequate objective supporting data, are insufficient.

After the decision to contract with a single source has been approved, a public announcement must be made for any action over \$100,000, except in emergencies. The purpose of the announcement is to inform industry about the basis for the decision to contract with the selected source.

A basic contract may be modified to exercise an option, or to satisfy a follow-on procurement for more of the same products or services without seeking additional competition when, based on market analysis, there is a rational basis not to compete the requirement and the rational basis is documented and approved as discussed in this subsection.

**New Content: Acquisition Management Policy:  
Section 3.2.2.4 : Single-Source Selection**

The FAA may contract with a single-source when in FAA's best interest and the rational basis for the decision is documented. This rational basis may be based on actions necessary and important to support FAA's mission, such as emergencies, standardization, and only source available to satisfy a requirement within the time required. For procurements under \$10,000, there is no requirement for competition or single-source justification; requirements must not be split to meet this exception. This section 3.2.2.4 is not applicable to noncompetitive awards made to socially and economically disadvantaged businesses (SEDB)/(8(a)) or service-disabled veteran owned small businesses (SDVOSB) under AMS policy 3.6.

The decision to contract with a single-source may be made as part of overall program planning. The rational basis must be documented and approved as a part of program planning in the implementation strategy and planning document, a procurement plan, or as a separate document. If an Exhibit 300 is not required and the service organization determines that a procurement plan is unnecessary, an independent single-source justification must be documented and endorsed by the service organization and approved by the CO.

Market analysis should be conducted to support each single-source decision, except for emergencies. The method and extent of the analysis depends on the requirement.

The CO must document the objective criteria supporting the rational basis for the decision in writing. Examples of information that might be documented include results of market analysis, cost or price data, unique qualifications or performance capability, and past performance. Mere conclusions, without adequate objective supporting data, are insufficient.

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A basic contract may be modified to exercise an option, or to satisfy a follow-on procurement for more of the same products or services without seeking additional competition when, based on market analysis, there is a rational basis not to compete the requirement and the rational basis is documented and approved as discussed in this subsection.

**Red Line Content: Acquisition Management Policy:  
Section 3.2.2.4 : Single-Source Selection**

The FAA may contract with a single-source when in FAA's best interest and the rational basis for the decision is documented. This rational basis may be based on actions necessary and important to support FAA's mission, such as emergencies, standardization, and only source available to satisfy a requirement within the time required. For procurements under \$10,000, there is no requirement for competition or single-source justification; requirements must not be split to meet this exception. This section 3.2.2.4 is not applicable to noncompetitive awards made to socially and economically disadvantaged businesses (SEDB)/(8(a)) or service-disabled veteran owned small businesses (SDVOSB) under AMS policy 3.6.

The decision to contract with a single-source may be made as part of overall program planning. The rational basis must be documented and approved as a part of program planning in the [Exhibit 300 implementation strategy](#) and [attachments planning document](#), a procurement plan, or as a separate document. If an Exhibit 300 is not required and the service organization determines that a procurement plan is unnecessary, an independent single-source justification must be documented and endorsed by the service organization and approved by the CO.

Market analysis should be conducted to support each single-source decision, except for emergencies. The method and extent of the analysis depends on the requirement.

The CO must document the objective criteria supporting the rational basis for the decision in writing. Examples of information that might be documented include results of market analysis, cost or price data, unique qualifications or performance capability, and past performance. Mere conclusions, without adequate objective supporting data, are insufficient.

After the decision to contract with a single source has been approved, a public announcement must be made for any action over \$100,000, except in emergencies. The purpose of the announcement is to inform industry about the basis for the decision to contract with the selected source.

A basic contract may be modified to exercise an option, or to satisfy a follow-on procurement for more of the same products or services without seeking additional competition when, based on market analysis, there is a rational basis not to compete the requirement and the rational basis is documented and approved as discussed in this subsection.

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**Section 2.1.5 : Pre- and Post Award Audits**

**Old Content:** Acquisition Management Policy:  
**Section 2.1.5 : Pre- and Post Award Audits**

Pre-award audits and periodic incurred cost audits by a contractor's cognizant audit agency are the preferred mechanism to assist the Contracting Officer in ensuring the validity of indirect and direct cost billed under cost reimbursement contracts. The Contracting Officer is responsible for ensuring that the indirect and direct costs paid under a cost reimbursement contract are allowable. In situations where a cost-incurred audit is not obtained, the Contracting Officer will still ensure that only allowable costs are paid. The sponsoring organization will fund required pre- and post award audits and will include an estimate for the cost of the audits in the Exhibit 300 Program Baseline. The Exhibit 300 Attachment 3: Implementation Strategy and Planning will also address the approach, responsible organizations, and activities for obtaining audits. ([See appropriate templates for additional guidance](#))

**New Content:** Acquisition Management Policy:  
**Section 2.1.5 : Pre- and Post Award Audits**

Pre-award audits and periodic incurred cost audits by a contractor's cognizant audit agency are the preferred mechanism to assist the contracting officer in ensuring the validity of indirect and direct cost billed under cost reimbursement contracts. The contracting officer is responsible for ensuring that the indirect and direct costs paid under a cost reimbursement contract are allowable. In situations where a cost-incurred audit is not obtained, the contracting officer will still ensure that only allowable costs are paid. The sponsoring organization will fund required pre- and post award audits and will include an estimate for the cost of the audits in the acquisition program baseline. The implementation strategy and planning document will also address the approach, responsible organizations, and activities for obtaining audits. ([See appropriate templates for additional guidance](#))

**Red Line Content:** Acquisition Management Policy:  
**Section 2.1.5 : Pre- and Post Award Audits**

Pre-award audits and periodic incurred cost audits by a contractor's cognizant audit agency are the preferred mechanism to assist the ~~Contracting Officer~~contracting officer in ensuring the validity of indirect and direct cost billed under cost reimbursement contracts. The ~~Contracting Officer~~contracting officer is responsible for ensuring that the indirect and direct costs paid under a cost reimbursement contract are allowable. In situations where a cost-incurred audit is not obtained, the ~~Contracting Officer~~contracting officer will still ensure that only allowable costs are paid. The sponsoring organization will fund required pre- and post award audits and will include an estimate for the cost of the audits in the ~~Exhibit 300 Program Baseline~~acquisition baseline. The ~~Exhibit 300 Attachment 3: Implementation Strategy and Planning~~implementation strategy ~~Strategy and Planning~~document will also address the approach, responsible organizations, and activities for obtaining audits. ([See appropriate templates for additional guidance](#))

### Section 2.3.2.1 : What Must Be Done

Old Content: Acquisition Management Policy:

### Section 2.3.2.1 : What Must Be Done

- **Define services.** This activity defines expected service outcomes in terms of improvements in service delivery and contribution to FAA strategic and performance goals. A continuing dialog with and feedback from the customers of FAA services is crucial (e.g., commercial air carriers, general aviation, air transport industry, state and local airport authorities). This activity identifies business, technology, organizational, process, and personnel issues that affect service outcomes, as well as assumptions, risks, and dependencies.
- **Gather information on the service environment.** Data are collected to forecast service demand over the next 5 – 15 years and to stay abreast of opportunities for improving service delivery. Data sources include technology and aviation forecasts, customer surveys, operational environment, the enterprise architecture, capital investment plan, and FAA and Department of Transportation strategic plans. The operational outlook for fielded assets is crucial. Feedback from post implementation reviews and evaluations of operational assets provide information for determining when and how service shortfalls must be addressed and when existing capability will no longer be supportable.
- **Analyze functions.** Functional analysis is performed within context of the enterprise architecture. It develops a sequenced and traceable architecture that defines the functions and sub-functions necessary to provide the intended service or operational capability. It defines what must be done without defining how to do it. Functional analysis evaluates the impact of individual functions on such factors as cost, benefit, and risk to service delivery. Results provide a basis for determining what capability level to specify.
- **Determine capability gaps and technology opportunities.** Service capability that can be provided by existing and programmed assets is compared with projected demand for services to determine shortfalls. Technology innovations are investigated on a continuing basis to explore opportunities for improving service delivery. The assessment extends over the range of capabilities necessary for service delivery (e.g., automation and data processing, surveillance, communications, and navigation), and is conducted within context of the enterprise architecture. Shortfalls and opportunities are defined in quantified, measurable terms. They are prioritized according to their criticality for achieving FAA strategic and performance goals and are traceable directly to them.
- **Recommend changes to the enterprise architecture.** Service analysis defines and prioritizes service and infrastructure needs within a line of business, ties them to FAA strategic and performance measures, indicates when they need to be resolved, and explains how benefits accrue to the FAA and its customers. When service analysis identifies conditions in the service environment that are different from those in FAA strategic planning, the service organization recommends changes to the FAA flight plan and enterprise architecture.
- **Plan for concept and requirements definition.** When an enterprise architecture roadmap specifies that action must be taken now to address a priority service need, ATO Systems Engineering works with the implementing and operating service organizations to prepare a plan for concept and requirements definition. This plan (1) specifies how the tasks of concept and requirements definition will be accomplished, including any

supporting research or analysis; (2) defines the roles and responsibilities of participating organizations; (3) defines outputs and exit criteria; (4) establishes a schedule for completion; and (5) specifies needed resources.

**New Content: Acquisition Management Policy:  
Section 2.3.2.1 : What Must Be Done**

- **Define services.** This activity defines expected service outcomes in terms of improvements in service delivery and contribution to FAA strategic and performance goals. A continuing dialog with and feedback from the customers of FAA services is crucial (e.g., commercial air carriers, general aviation, air transport industry, state and local airport authorities). This activity identifies business, technology, organizational, process, and personnel issues that affect service outcomes, as well as assumptions, risks, and dependencies.
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- **Determine capability gaps and technology opportunities.** Service capability that can be provided by existing and programmed assets is compared with projected demand for services to determine shortfalls. Technology innovations are investigated on a continuing basis to explore opportunities for improving service delivery. The assessment extends over the range of capabilities necessary for service delivery (e.g., automation and data processing, surveillance, communications, and navigation), and is conducted within context of the enterprise architecture. Shortfalls and opportunities are defined in quantified, measurable terms. They are prioritized according to their criticality for achieving FAA strategic and performance goals and are traceable directly to them.
- **Recommend changes to the enterprise architecture.** Service analysis defines and prioritizes service and infrastructure needs within a line of business, ties them to FAA strategic and performance measures, indicates when they need to be resolved, and explains how benefits accrue to the FAA and its customers. When service analysis identifies conditions in the service environment that are different from those in FAA strategic planning, the service organization recommends changes to the FAA flight plan and enterprise architecture.
- **Plan for concept and requirements definition.** When an enterprise architecture roadmap specifies that action must be taken now to address a priority service need, ATO

Systems Engineering works with the implementing and operating service organizations to prepare a plan for concept and requirements definition. This plan (1) specifies how the tasks of concept and requirements definition will be accomplished, including any supporting research or analysis; (2) defines the roles and responsibilities of participating organizations; (3) defines outputs and exit criteria; (4) establishes a schedule for completion; and (5) specifies needed resources.

**Red Line Content:** Acquisition Management Policy:

**Section 2.3.2.1 : What Must Be Done**

Service organizations employ standard program milestones when planning, executing, and reporting progress on agency investment programs, including entries in the Exhibit 300 program (~~designated baseline programs only~~) and its ~~acquisition program attachments~~ baseline. Level 1 ~~and level~~ through 23 milestones are required.

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**Section 2.3.3 : Standard Lifecycle Work Breakdown Structure**

**Old Content:** Acquisition Management Policy:

**Section 2.3.3 : Standard Lifecycle Work Breakdown Structure**

The FAA has one standard lifecycle work breakdown structure that covers the entire acquisition management process and is the foundation for the FAA cost accounting system. This standard lifecycle work breakdown structure is the basis for both the investment alternative work breakdown structure, which is developed during initial investment analysis for each alternative as a means for estimating total lifecycle cost, schedule, and risk, and the program baseline work breakdown structure, which is developed during final investment analysis for the program approved for implementation by the Joint Resources Council or one of its subordinate investment review boards, as documented in the Exhibit 300 program baseline and part 2 of the implementation strategy and planning attachment.

**New Content:** Acquisition Management Policy:

**Section 2.3.3 : Concept and Requirements Definition Readiness Decision**

The concept and requirements definition readiness decision occurs when an enterprise architecture roadmap indicates action must be taken to address a critical mission shortfall or opportunity. At this decision, the Director, ATO Systems Engineering verifies that the service need proposed to enter concept and requirements definition is a valid investment opportunity within an enterprise architecture roadmap and that planning and resources for concept and requirements definition are in place. The Director, ATO Systems Engineering notifies the cognizant investment decision authority of the decision to begin concept and requirements definition. This decision does not apply to small ACAT 5 needs managed by the Information Technology Executive Board.

**Red Line Content:** Acquisition Management Policy:

**Section 2.3.3 :** ~~Standard Lifecycle Work Breakdown Structure~~ Concept and Requirements Definition  
Readiness Decision

The FAA has one standard lifecycle work breakdown structure that covers the entire acquisition management process and is the foundation for the FAA cost accounting system. This standard lifecycle work breakdown structure is the basis for both the investment alternative work breakdown structure, which is developed during initial investment analysis for each alternative as a means for estimating total lifecycle cost, schedule, and risk, and the program ~~baseline~~-work breakdown structure, which is developed during final investment analysis for the program approved for implementation by the ~~Joint Resources Council or one of its subordinate investment review boards, as documented in the Exhibit 300 program baseline and part 2 of the implementation strategy and planning~~ decision attachment authority.

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### Section 2.3.2.1 : What Must Be Done

**Old Content:** Acquisition Management Policy:

**Section 2.3.2.1 : What Must Be Done**

- **Define services.** This activity defines expected service outcomes in terms of improvements in service delivery and contribution to FAA strategic and performance goals. A continuing dialog with and feedback from the customers of FAA services is crucial (e.g., commercial air carriers, general aviation, air transport industry, state and local airport authorities). This activity identifies business, technology, organizational, process, and personnel issues that affect service outcomes, as well as assumptions, risks, and dependencies.
- **Gather information on the service environment.** Data are collected to forecast service demand over the next 5 – 15 years and to stay abreast of opportunities for improving service delivery. Data sources include technology and aviation forecasts, customer surveys, operational environment, the enterprise architecture, capital investment plan, and FAA and Department of Transportation strategic plans. The operational outlook for fielded assets is crucial. Feedback from post implementation reviews and evaluations of operational assets provide information for determining when and how service shortfalls must be addressed and when existing capability will no longer be supportable.
- **Analyze functions.** Functional analysis is performed within context of the enterprise architecture. It develops a sequenced and traceable architecture that defines the functions and sub-functions necessary to provide the intended service or operational capability. It defines what must be done without defining how to do it. Functional analysis evaluates the impact of individual functions on such factors as cost, benefit, and risk to service delivery. Results provide a basis for determining what capability level to specify.
- **Determine capability gaps and technology opportunities.** Service capability that can be provided by existing and programmed assets is compared with projected demand for services to determine shortfalls. Technology innovations are investigated on a continuing basis to explore opportunities for improving service delivery. The assessment extends over the range of capabilities necessary for service delivery (e.g., automation and data

processing, surveillance, communications, and navigation), and is conducted within context of the enterprise architecture. Shortfalls and opportunities are defined in quantified, measurable terms. They are prioritized according to their criticality for achieving FAA strategic and performance goals and are traceable directly to them.

- **Recommend changes to the enterprise architecture.** Service analysis defines and prioritizes service and infrastructure needs within a line of business, ties them to FAA strategic and performance measures, indicates when they need to be resolved, and explains how benefits accrue to the FAA and its customers. When service analysis identifies conditions in the service environment that are different from those in FAA strategic planning, the service organization recommends changes to the FAA flight plan and enterprise architecture.
- **Plan for concept and requirements definition.** When an enterprise architecture roadmap specifies that action must be taken now to address a priority service need, ATO Systems Engineering works with the implementing and operating service organizations to prepare a plan for concept and requirements definition. This plan (1) specifies how the tasks of concept and requirements definition will be accomplished, including any supporting research or analysis; (2) defines the roles and responsibilities of participating organizations; (3) defines outputs and exit criteria; (4) establishes a schedule for completion; and (5) specifies needed resources.

**New Content:** Acquisition Management Policy:

#### **Section 2.3.2.1 : What Must Be Done**

- **Define services.** This activity defines expected service outcomes in terms of improvements in service delivery and contribution to FAA strategic and performance goals. A continuing dialog with and feedback from the customers of FAA services is crucial (e.g., commercial air carriers, general aviation, air transport industry, state and local airport authorities). This activity identifies business, technology, organizational, process, and personnel issues that affect service outcomes, as well as assumptions, risks, and dependencies.
- **Gather information on the service environment.** Data are collected to forecast service demand over the next 5 – 15 years and to stay abreast of opportunities for improving service delivery. Data sources include technology and aviation forecasts, customer surveys, operational environment, the enterprise architecture, capital investment plan, and FAA and Department of Transportation strategic plans. The operational outlook for fielded assets is crucial. Feedback from post implementation reviews and evaluation of operational assets provide information for determining when and how service shortfalls must be addressed and when existing capability will no longer be supportable.
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services to determine shortfalls. Technology innovations are investigated on a continuing basis to explore opportunities for improving service delivery. The assessment extends over the range of capabilities necessary for service delivery (e.g., automation and data processing, surveillance, communications, and navigation), and is conducted within context of the enterprise architecture. Shortfalls and opportunities are defined in quantified, measurable terms. They are prioritized according to their criticality for achieving FAA strategic and performance goals and are traceable directly to them.

- **Recommend changes to the enterprise architecture.** Service analysis defines and prioritizes service and infrastructure needs within a line of business, ties them to FAA strategic and performance measures, indicates when they need to be resolved, and explains how benefits accrue to the FAA and its customers. When service analysis identifies conditions in the service environment that are different from those in FAA strategic planning, the service organization recommends changes to the FAA flight plan and enterprise architecture.
- **Plan for concept and requirements definition.** When an enterprise architecture roadmap specifies that action must be taken now to address a priority service need, ATO Systems Engineering works with the implementing and operating service organizations to prepare a plan for concept and requirements definition. This plan (1) specifies how the tasks of concept and requirements definition will be accomplished, including any supporting research or analysis; (2) defines the roles and responsibilities of participating organizations; (3) defines outputs and exit criteria; (4) establishes a schedule for completion; and (5) specifies needed resources.

**Red Line Content: Acquisition Management Policy:**  
**Section 2.3.2.1 : What Must Be Done**

- **Define services.** This activity defines expected service outcomes in terms of improvements in service delivery and contribution to FAA strategic and performance goals. A continuing dialog with and feedback from the customers of FAA services is crucial (e.g., commercial air carriers, general aviation, air transport industry, state and local airport authorities). This activity identifies business, technology, organizational, process, and personnel issues that affect service outcomes, as well as assumptions, risks, and dependencies.
- **Gather information on the service environment.** Data are collected to forecast service demand over the next 5 – 15 years and to stay abreast of opportunities for improving service delivery. Data sources include technology and aviation forecasts, customer surveys, operational environment, the enterprise architecture, capital investment plan, and FAA and Department of Transportation strategic plans. The operational outlook for fielded assets is crucial. Feedback from post implementation reviews and evaluations~~evaluation~~ of operational assets provide information for determining when and how service shortfalls must be addressed and when existing capability will no longer be supportable.
- **Analyze functions.** Functional analysis is performed within context of the enterprise architecture. It develops a sequenced and traceable architecture that defines the functions and sub-functions necessary to provide the intended service or operational capability. It defines what must be done without defining how to do it. Functional analysis evaluates

the impact of individual functions on such factors as cost, benefit, and risk to service delivery. Results provide a basis for determining what capability level to specify.

- **Determine capability gaps and technology opportunities.** Service capability that can be provided by existing and programmed assets is compared with projected demand for services to determine shortfalls. Technology innovations are investigated on a continuing basis to explore opportunities for improving service delivery. The assessment extends over the range of capabilities necessary for service delivery (e.g., automation and data processing, surveillance, communications, and navigation), and is conducted within context of the enterprise architecture. Shortfalls and opportunities are defined in quantified, measurable terms. They are prioritized according to their criticality for achieving FAA strategic and performance goals and are traceable directly to them.
- **Recommend changes to the enterprise architecture.** Service analysis defines and prioritizes service and infrastructure needs within a line of business, ties them to FAA strategic and performance measures, indicates when they need to be resolved, and explains how benefits accrue to the FAA and its customers. When service analysis identifies conditions in the service environment that are different from those in FAA strategic planning, the service organization recommends changes to the FAA flight plan and enterprise architecture.
- **Plan for concept and requirements definition.** When an enterprise architecture roadmap specifies that action must be taken now to address a priority service need, ATO Systems Engineering works with the implementing and operating service organizations to prepare a plan for concept and requirements definition. This plan (1) specifies how the tasks of concept and requirements definition will be accomplished, including any supporting research or analysis; (2) defines the roles and responsibilities of participating organizations; (3) defines outputs and exit criteria; (4) establishes a schedule for completion; and (5) specifies needed resources.

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### **Section 2.3.3 : Concept and Requirements Definition Readiness Decision**

**Old Content:** Acquisition Management Policy:

#### **Section 2.3.3 : Concept and Requirements Definition Readiness Decision**

The concept and requirements definition readiness decision occurs when an enterprise architecture roadmap indicates action must be taken to address a critical mission shortfall or opportunity. At this decision, the Director, ATO Systems Engineering verifies that the service need proposed to enter concept and requirements definition is the highest priority investment opportunity within an enterprise architecture roadmap and that planning and resources for concept and requirements definition are in place. The Director, ATO Systems Engineering notifies the Joint Resources Council and cognizant subordinate investment review board of the decision to begin concept and requirements definition. This decision does not apply to small administrative or mission support needs managed by the Information Technology Executive Board unless so designated.

**New Content:** Acquisition Management Policy:

#### **Section 2.3.3 : Concept and Requirements Definition Readiness Decision**

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The concept and requirements definition readiness decision occurs when an enterprise architecture roadmap indicates action must be taken to address a critical mission shortfall or opportunity. At this decision, the Director, ATO Systems Engineering verifies that the service need proposed to enter concept and requirements definition is a valid investment opportunity within an enterprise architecture roadmap and that planning and resources for concept and requirements definition are in place. The Director, ATO Systems Engineering notifies the cognizant investment decision authority of the decision to begin concept and requirements definition. This decision does not apply to small ACAT 5 needs managed by the Information Technology Executive Board.

**Red Line Content:** Acquisition Management Policy:

### **Section 2.3.3 : Concept and Requirements Definition Readiness Decision**

The concept and requirements definition readiness decision occurs when an enterprise architecture roadmap indicates action must be taken to address a critical mission shortfall or opportunity. At this decision, the Director, ATO Systems Engineering verifies that the service need proposed to enter concept and requirements definition is ~~the highest priority~~ a. The concept and requirements definition readiness decision occurs when an enterprise architecture roadmap indicates action must be taken to address a critical mission shortfall or opportunity. At this decision, the Director, ATO Systems Engineering verifies that the service need proposed to enter concept and requirements definition is a valid investment opportunity within an enterprise architecture roadmap and that planning and resources for concept and requirements definition are in place. The Director, ATO Systems Engineering notifies the cognizant investment decision authority of the decision to begin concept and requirements definition. This decision does not apply to small ACAT 5 needs managed by the Information Technology Executive Board.

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#### **Section 2.3.4.1 : What Must Be Done**

**Old Content:** Acquisition Management Policy:

#### **Section 2.3.4.1 : What Must Be Done**

NOTE: The plan for concept and requirements definition must be approved by the Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization before the start of any CRD activity (see AMS Section 2.3.2.1). Roadmap planning in the enterprise architecture specifies when concept and requirements definition activity must begin.

- **Conduct detailed shortfall analysis.** The priority infrastructure or service shortfall in the enterprise architecture and its impact on service delivery is quantified in sufficient detail to serve as the basis for (1) determining realistic and economic alternative solutions to the service need, (2) developing a concept of use, and (3) defining preliminary program requirements. This detailed shortfall analysis is also the basis for quantifying likely program costs and benefits during investment analysis.
- **Develop range of alternatives.** The marketplace is surveyed to identify feasible and economic alternative solutions to the service need. Both material and non-material

alternatives are evaluated. One must be the hypothesized "best" alternative in the enterprise architecture. Key factors to consider are safety, operational cost efficiencies (particularly those related to telecommunications and information systems security), technological maturity, and impact on the workforce and enterprise architecture. Alternatives should be qualitatively different from each other (e.g., different technologies such as ground-based versus airborne solutions or different acquisition strategies such as developmental versus commercially available items). Low risk, cost-effective, and operationally suitable commercial or non-developmental solutions are preferred. Alternatives may not meet 100 percent of preliminary requirements. Concept and technical descriptions are developed for each alternative.

- **Define concept(s) of use.** The concept of use explains how new capabilities will function within the existing operational environment and how they will satisfy the service need. It defines key elements of the required capability and the roles and responsibilities of key participants (e.g., controllers, maintenance technicians, pilots). It explains operational issues that system engineers must understand when developing requirements; identifies procedural issues that may lead to operational change; and establishes a basis for evaluating benefits. If proposed alternative solutions are significantly different from each other, more than one concept of use may be required. The concept of use is recorded in the Exhibit 300 program baseline attachment 1: Program Requirements.
- **Develop preliminary requirements.** The functional analysis performed during service analysis is the foundation for defining preliminary requirements. Preliminary requirements specify how well the new capability must perform intended functions. Safety, security, integrated logistics support, and human factors are key disciplines that must be considered. Preliminary requirements specify *only* function and performance, and *do not* define a solution. They must be expressed such that the degree to which different solutions satisfy them can be measured and evaluated. Research and analysis or even prototyping may be necessary to define preliminary requirements adequately. They are recorded in the Exhibit 300 program baseline attachment 1: Program Requirements.
- **Estimate rough lifecycle costs.** A rough lifecycle cost is developed for the range of alternatives that will be evaluated during initial investment analysis. A preliminary assessment of the availability of funding is also conducted. The head of the line of business uses this information as a basis for determining whether to pursue this service need in competition with all other service needs.
- **Develop enterprise architecture products and amendments.** Enterprise architecture products and amendments include the operational (business rule) and systems (engineering) view families. These families facilitate development, support, and execution of both service and infrastructure investment programs.
- **Plan for investment analysis.** The plan for investment analysis defines: (1) scope and assumptions; (2) alternatives and rough-order lifecycle cost estimates; and (3) organizational roles and responsibilities. It also specifies (4) a target schedule and defines (5) the resources needed for the work. By signing the plan for investment analysis, the organizations that will conduct the analysis agree to provide the resources necessary to complete the work.
- **Prepare for the investment analysis readiness decision.** This includes development of the decision package, verification that the activities of concept and requirements definition are complete, and pre-briefings to designated decision-makers.

**New Content: Acquisition Management Policy:  
Section 2.3.4.1 : What Must Be Done**

NOTE: The plan for concept and requirements definition must be approved by the Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization before the start of any CRD activity (see AMS Section 2.3.2.1). Roadmap planning in the enterprise architecture specifies when concept and requirements definition activity must begin.

- **Conduct detailed shortfall analysis.** The priority infrastructure or service shortfall in the enterprise architecture and its impact on service delivery is quantified in sufficient detail to serve as the basis for (1) determining realistic and economic alternative solutions to the service need, (2) developing a concept of use, and (3) defining preliminary program requirements. This detailed shortfall analysis is also the basis for quantifying likely program costs and benefits during investment analysis.
- **Develop range of alternatives.** The marketplace is surveyed to identify feasible and economic alternative solutions to the service need. Both material and non-material alternatives are evaluated. One must be the hypothesized "best" alternative in the enterprise architecture. Key factors to consider are safety, operational cost efficiencies (particularly those related to telecommunications and information systems security), technological maturity, and impact on the workforce and enterprise architecture. Alternatives should be qualitatively different from each other (e.g., different technologies such as ground-based versus airborne solutions or different acquisition strategies such as developmental versus commercially available items). Low risk, cost-effective, and operationally suitable commercial or non-developmental solutions are preferred. Alternatives may not meet 100 percent of preliminary requirements. Concept and technical descriptions are developed for each alternative.
- **Define concept(s) of use.** The concept of use explains how new capabilities will function within the existing operational environment and how they will satisfy the service need. It defines key elements of the required capability and the roles and responsibilities of key participants (e.g., controllers, maintenance technicians, pilots). It explains operational issues that system engineers must understand when developing requirements; identifies procedural issues that may lead to operational change; and establishes a basis for evaluating benefits. If proposed alternative solutions are significantly different from each other, more than one concept of use may be required. The concept of use is recorded in the preliminary program requirements document.
- **Develop preliminary requirements.** The functional analysis performed during service analysis is the foundation for defining preliminary requirements. Preliminary requirements specify how well the new capability must perform intended functions. Safety, security, integrated logistics support, and human factors are key disciplines that must be considered. Preliminary requirements specify *only* function and performance, and *do not* define a solution. They must be expressed such that the degree to which different solutions satisfy them can be measured and evaluated. Research and analysis or even prototyping may be necessary to define preliminary requirements adequately. They are recorded in the preliminary program requirements document.

- **Estimate rough lifecycle costs.** A rough lifecycle cost is developed for the range of alternatives that will be evaluated during initial investment analysis. A preliminary assessment of the availability of funding is also conducted. The head of the line of business uses this information as a basis for determining whether to pursue this service need in competition with all other service needs.
- **Develop enterprise architecture products and amendments.** Enterprise architecture products and amendments include the operational (business rule) and systems (engineering) view families. These families facilitate development, support, and execution of both service and infrastructure investment programs.
- **Plan for investment analysis.** The plan for investment analysis defines: (1) scope and assumptions; (2) alternatives and rough-order lifecycle cost estimates; and (3) organizational roles and responsibilities. It also specifies (4) a target schedule and defines (5) the resources needed for the work. By signing the plan for investment analysis, the organizations that will conduct the analysis agree to provide the resources necessary to complete the work.
- **Prepare for the investment analysis readiness decision.** This includes development of the decision package, verification that the activities of concept and requirements definition are complete, and pre-briefings to designated decision-makers.

**Red Line Content:** Acquisition Management Policy:

#### **Section 2.3.4.1 : What Must Be Done**

NOTE: The plan for concept and requirements definition must be approved by the Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization before the start of any CRD activity (see AMS Section 2.3.2.1). Roadmap planning in the enterprise architecture specifies when concept and requirements definition activity must begin.

- **Conduct detailed shortfall analysis.** The priority infrastructure or service shortfall in the enterprise architecture and its impact on service delivery is quantified in sufficient detail to serve as the basis for (1) determining realistic and economic alternative solutions to the service need, (2) developing a concept of use, and (3) defining preliminary program requirements. This detailed shortfall analysis is also the basis for quantifying likely program costs and benefits during investment analysis.
- **Develop range of alternatives.** The marketplace is surveyed to identify feasible and economic alternative solutions to the service need. Both material and non-material alternatives are evaluated. One must be the hypothesized "best" alternative in the enterprise architecture. Key factors to consider are safety, operational cost efficiencies (particularly those related to telecommunications and information systems security), technological maturity, and impact on the workforce and enterprise architecture. Alternatives should be qualitatively different from each other (e.g., different technologies such as ground-based versus airborne solutions or different acquisition strategies such as developmental versus commercially available items). Low risk, cost-effective, and operationally suitable commercial or non-developmental solutions are preferred. Alternatives may not meet 100 percent of preliminary requirements. Concept and technical descriptions are developed for each alternative.

- **Define concept(s) of use.** The concept of use explains how new capabilities will function within the existing operational environment and how they will satisfy the service need. It defines key elements of the required capability and the roles and responsibilities of key participants (e.g., controllers, maintenance technicians, pilots). It explains operational issues that system engineers must understand when developing requirements; identifies procedural issues that may lead to operational change; and establishes a basis for evaluating benefits. If proposed alternative solutions are significantly different from each other, more than one concept of use may be required. The concept of use is recorded in the [Exhibit 300-program baseline-attachment 1: Program requirements Requirementsdocument.](#)
- **Develop preliminary requirements.** The functional analysis performed during service analysis is the foundation for defining preliminary requirements. Preliminary requirements specify how well the new capability must perform intended functions. Safety, security, integrated logistics support, and human factors are key disciplines that must be considered. Preliminary requirements specify *only* function and performance, and *do not* define a solution. They must be expressed such that the degree to which different solutions satisfy them can be measured and evaluated. Research and analysis or even prototyping may be necessary to define preliminary requirements adequately. They are recorded in the [Exhibit 300-program baseline-attachment 1: Program requirements Requirementsdocument.](#)
- **Estimate rough lifecycle costs.** A rough lifecycle cost is developed for the range of alternatives that will be evaluated during initial investment analysis. A preliminary assessment of the availability of funding is also conducted. The head of the line of business uses this information as a basis for determining whether to pursue this service need in competition with all other service needs.
- **Develop enterprise architecture products and amendments.** Enterprise architecture products and amendments include the operational (business rule) and systems (engineering) view families. These families facilitate development, support, and execution of both service and infrastructure investment programs.
- **Plan for investment analysis.** The plan for investment analysis defines: (1) scope and assumptions; (2) alternatives and rough-order lifecycle cost estimates; and (3) organizational roles and responsibilities. It also specifies (4) a target schedule and defines (5) the resources needed for the work. By signing the plan for investment analysis, the organizations that will conduct the analysis agree to provide the resources necessary to complete the work.
- **Prepare for the investment analysis readiness decision.** This includes development of the decision package, verification that the activities of concept and requirements definition are complete, and pre-briefings to designated decision-makers.

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#### Section 2.3.4.2 : What Must Be Done

**Old Content:** Acquisition Management Policy:

#### **Section 2.3.4.2 : What Must Be Done**

NOTE: The plan for concept and requirements definition must be approved by the Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization before the start of any CRD activity (see AMS Section 2.3.2.1). Roadmap planning in the enterprise architecture specifies when concept and requirements definition activity must begin.

- **Conduct detailed shortfall analysis.** The priority infrastructure or service shortfall in the enterprise architecture and its impact on service delivery is quantified in sufficient detail to serve as the basis for (1) determining realistic and economic alternative solutions to the service need, (2) developing a concept of use, and (3) defining preliminary program requirements. This detailed shortfall analysis is also the basis for quantifying likely program costs and benefits during investment analysis.
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- **Develop preliminary requirements.** The functional analysis performed during service analysis is the foundation for defining preliminary requirements. Preliminary requirements specify how well the new capability must perform intended functions. Safety, security, integrated logistics support, and human factors are key disciplines that must be considered. Preliminary requirements specify *only* function and performance, and *do not* define a solution. They must be expressed such that the degree to which different solutions satisfy them can be measured and evaluated. Research and analysis or even prototyping may be necessary to define preliminary requirements adequately. They are recorded in the Exhibit 300 program baseline attachment 1: Program Requirements.
- **Estimate rough lifecycle costs.** A rough lifecycle cost is developed for the range of alternatives that will be evaluated during initial investment analysis. A preliminary assessment of the availability of funding is also conducted. The head of the line of

business uses this information as a basis for determining whether to pursue this service need in competition with all other service needs.

- **Develop enterprise architecture products and amendments.** Enterprise architecture products and amendments include the operational (business rule) and systems (engineering) view families. These families facilitate development, support, and execution of both service and infrastructure investment programs.
- **Plan for investment analysis.** The plan for investment analysis defines: (1) scope and assumptions; (2) alternatives and rough-order lifecycle cost estimates; and (3) organizational roles and responsibilities. It also specifies (4) a target schedule and defines (5) the resources needed for the work. By signing the plan for investment analysis, the organizations that will conduct the analysis agree to provide the resources necessary to complete the work.
- **Prepare for the investment analysis readiness decision.** This includes development of the decision package, verification that the activities of concept and requirements definition are complete, and pre-briefings to designated decision-makers.

**New Content:** Acquisition Management Policy:

#### **Section 2.3.4.2 : Outputs and Products**

- Preliminary program requirements document;
- Enterprise architecture products and amendments;
- Investment analysis plan.

**Red Line Content:** Acquisition Management Policy:

#### **Section 2.3.4.2 : Outputs and Products**

NOTE: The plan for concept and requirements definition must be approved by the Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization before the start of any CRD activity (see AMS Section 2.3.2.1). Roadmap planning in the enterprise architecture specifies when concept and requirements definition activity must begin.

- **Conduct detailed shortfall analysis.** The priority infrastructure or service shortfall in the enterprise architecture and its impact on service delivery is quantified in sufficient detail to serve as the basis for (1) determining realistic and economic alternative solutions to the service need, (2) developing a concept of use, and (3) defining preliminary program requirements. This detailed shortfall analysis is also the basis for quantifying likely program costs and benefits during investment analysis.
- **Develop range of alternatives.** The marketplace is surveyed to identify feasible and economic alternative solutions to the service need. Both material and non-material alternatives are evaluated. One must be the hypothesized "best" alternative in the enterprise architecture. Key factors to consider are safety, operational cost efficiencies (particularly those related to telecommunications and information systems security), technological maturity, and impact on the workforce and enterprise architecture. Alternatives should be qualitatively different from each other (e.g., different technologies such as ground-based versus airborne solutions or different acquisition strategies such as

developmental versus commercially available items). Low risk, cost-effective, and operationally suitable commercial or non-developmental solutions are preferred. Alternatives may not meet 100 percent of preliminary requirements. Concept and technical descriptions are developed for each alternative.

- **Define concept(s) of use.** The concept of use explains how new capabilities will function within the existing operational environment and how they will satisfy the service need. It defines key elements of the required capability and the roles and responsibilities of key participants (e.g., controllers, maintenance technicians, pilots). It explains operational issues that system engineers must understand when developing requirements; identifies procedural issues that may lead to operational change; and establishes a basis for evaluating benefits. If proposed alternative solutions are significantly different from each other, more than one concept of use may be required. The concept of use is recorded in the [Exhibit 300-program baseline-attachment 1: Program requirements Requirements document](#).
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- **Estimate rough lifecycle costs.** A rough lifecycle cost is developed for the range of alternatives that will be evaluated during initial investment analysis. A preliminary assessment of the availability of funding is also conducted. The head of the line of business uses this information as a basis for determining whether to pursue this service need in competition with all other service needs.
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- **Plan for investment analysis.** The plan for investment analysis defines: (1) scope and assumptions; (2) alternatives and rough-order lifecycle cost estimates; and (3) organizational roles and responsibilities. It also specifies (4) a target schedule and defines (5) the resources needed for the work. By signing the plan for investment analysis, the organizations that will conduct the analysis agree to provide the resources necessary to complete the work.
- **Prepare for the investment analysis readiness decision.** This includes development of the decision package, verification that the activities of concept and requirements definition are complete, and pre-briefings to designated decision-makers.

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#### **Section 2.3.4.2 : Outputs and Products**

**Old Content:** Acquisition Management Policy:  
**Section 2.3.4.2 : Outputs and Products**

- Exhibit 300 program baseline attachment 1: Program Requirements;
- Enterprise architecture products and amendments;
- Investment analysis plan.

**New Content:** Acquisition Management Policy:  
**Section 2.3.4.2 : Outputs and Products**

- Preliminary program requirements document;
- Enterprise architecture products and amendments;
- Investment analysis plan.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.3.4.2 : Outputs and Products**

- ~~Exhibit 300~~Preliminary program ~~baseline attachment 1: Program Requirements~~document;
  - Enterprise architecture products and amendments;
  - Investment analysis plan.
- 

**Section 2.3.4.4 : Entrance Criteria**

**Old Content:** Acquisition Management Policy:  
**Section 2.3.4.4 : Entrance Criteria**

The following are required for the investment analysis readiness decision:

- Exhibit 300 program baseline attachment 1: Program Requirements;
- Enterprise architecture products and amendments;
- Signed plan for investment analysis.

The following are required for the investment analysis readiness decision:

- Preliminary program requirements document;
- Enterprise architecture products and amendments;
- Signed plan for investment analysis.

**New Content:** Acquisition Management Policy:  
**Section 2.3.4.4 : Entrance Criteria**

The following are required for the investment analysis readiness decision:

- Preliminary program requirements document;

- Enterprise architecture products and amendments;
- Signed plan for investment analysis.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.3.4.4 : Entrance Criteria**

The following are required for the investment analysis readiness decision:

- ~~Exhibit~~ Preliminary 300 program ~~baseline attachment 1: Program~~ requirements Requirements document;
  - Enterprise architecture products and amendments;
  - Signed plan for investment analysis.
- 

**Section 2.3.5.2 : Entrance Criteria**

**Old Content:** Acquisition Management Policy:  
**Section 2.3.5.2 : Entrance Criteria**

The following are required for the investment analysis readiness decision:

- Exhibit 300 program baseline attachment 1: Program Requirements;
- Enterprise architecture products and amendments;
- Signed plan for investment analysis.

**New Content:** Acquisition Management Policy:  
**Section 2.3.5.2 : Entrance Criteria**

The following are required for the investment analysis readiness decision:

- Preliminary program requirements document;
- Enterprise architecture products and amendments;
- Signed plan for investment analysis.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.3.5.2 : Entrance Criteria**

The following are required for the investment analysis readiness decision:

- ~~Exhibit~~ Preliminary 300 program ~~baseline attachment 1: Program~~ requirements Requirements document;
  - Enterprise architecture products and amendments;
  - Signed plan for investment analysis.
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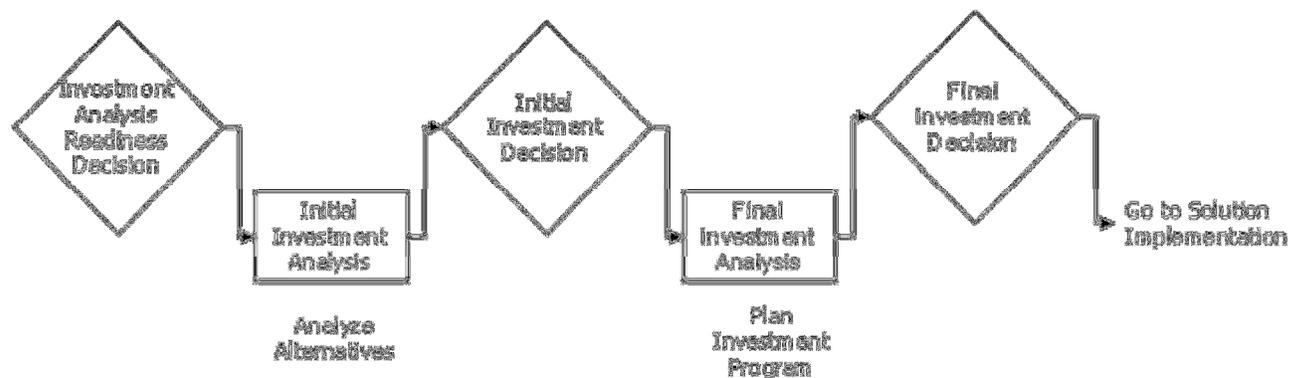
## Section 2.4 : Investment Analysis

**Old Content:** Acquisition Management Policy:

### **Section 2.4 : Investment Analysis**

Figure 2.4-1 illustrates the phases and decision points of investment analysis, which is conducted to ensure FAA's critical needs are satisfied by practical and affordable solutions. Initial investment analysis evaluates alternative solutions to mission need and provides realistic options to the Joint Resources Council that satisfy FAA strategic and performance goals and achieve best overall value for the FAA and its customers. Final investment analysis develops detailed plans and final requirements for a proposed investment opportunity.

**Figure 2.4-1 The Phases and Decision Points of Investment Analysis**



Investment analysis is a flexible process that is tailored for the specific analysis to be performed. Tailoring actions are approved by the acquisition executive or the Joint Resources Council and recorded in the appropriate plan and JRC record of decision for initial or final investment analysis.

Investment analysis teams conduct major, complex investment analyses. These teams have representatives from the service organization with the mission need, the operating service organization, the ATO Operations Planning organization, the ATO business case analysis organization, and necessary key subject-matter experts from such disciplines as system safety, information security, human factors, test, and integrated logistics. In all cases, organizations conducting investment analysis apply the standard processes and guidelines located in the investment analysis section of the FAST toolset.

Investment analysis is conducted within context of all planned or in-place FAA assets, capabilities, and resources described in the enterprise architecture. Recommendations are consistent with and support FAA strategic and performance goals and the enterprise architecture.

NAS and non-NAS roadmaps in the enterprise architecture establish when an operational capability must be in place. This, in turn, determines when investment analysis should be complete to allow sufficient time to acquire and deploy a suitable solution. The key is to balance

the timeliness of the analysis with the rigorous development of quantitative data needed by the Joint Resources Council to make an informed investment decision.

Cost-effective, operationally suitable commercial or non-developmental solutions are preferred over developmental alternatives when performance and lifecycle support costs are acceptable.

Investment programs are structured into manageable phases approved incrementally by the Joint Resources Council. Each phase is normally five years or less, and may be divided into technology development or demonstration followed by production and deployment. Production and deployment may also be divided into useful segments to reflect agency funding and operational priorities. Cost, schedule, performance, and benefit projections for each phase must always be deemed beneficial to the FAA and its customers. When additional phases are required to fully implement an investment program, the service organization conducts final investment analysis and brings each sequential phase to the Joint Resources Council for approval.

If a nonmaterial solution emerges during investment analysis that satisfies the need, can be achieved within approved budgets, and is operationally acceptable to the user, it may be implemented without proceeding further in the lifecycle management process. This determination is made by the Vice President or Director of the service organization with the mission need with the concurrence of the appropriate enterprise architecture control board.

Affordability and accurate cost and schedule estimates are key factors in the decision to approve a new investment program. During initial investment analysis, the capital investment team assesses the budget impact and relative contribution to agency goals of each alternative solution to mission need against other ongoing and proposed investment programs in the FAA's financial baseline. During final investment analysis, they assess the budget impact of the proposed investment program. Results are reported to the Joint Resources Council and included in the business case analysis report. Appendix A contains the membership of the capital investment team.

The FAA standard lifecycle work breakdown structure shall be used when developing cost and schedule estimates. When available, cost estimates must be based on actual or historical data.

Stakeholder participation is important throughout investment analysis. Stakeholder support for the solution approved at the initial investment decision is key to program success. Coordination with stakeholders is the responsibility of the service organization.

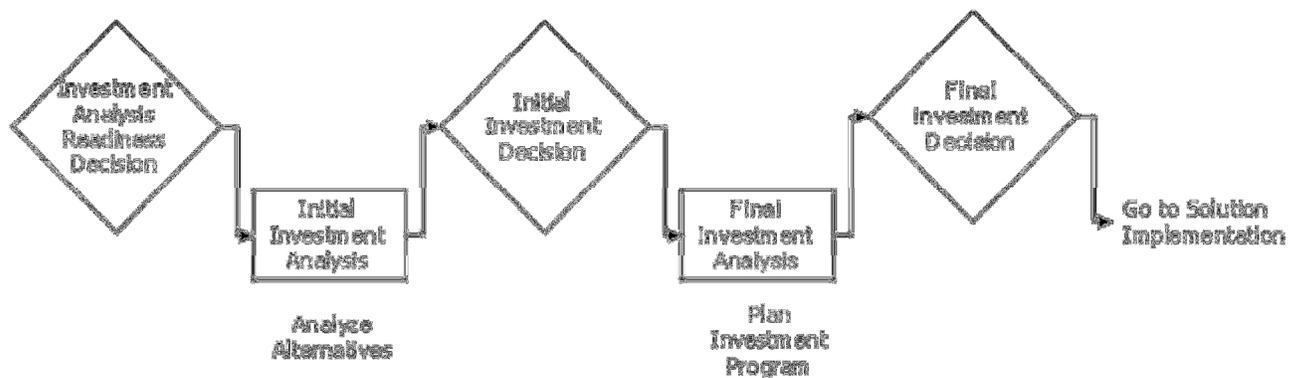
Investment analysis processes conform to external authorities such as those detailed in Appendix E. These authorities include, but are not limited to, the Federal laws, regulations, and guidelines shown. In particular, the information required by OMB Circular A-11, *Preparation, Submission, and Execution of the Budget* is generated, the requirements of OMB Circular A-76, *Performance of Commercial Activities* are considered, and the guidance of OMB Circular A-94, *Guidelines and Discount Rates for Benefit Cost Analysis of Federal Programs* (as annually updated) is followed. OMB Circular A-11 contains Federal policy for planning, budgeting, and managing capital assets. OMB Circular A-94 provides guidelines and values for use in conducting federal investment analyses, including the appropriate selection of analytical technique and decision

criterion. It also prescribes the treatment of inflation and discounting. OMB Circular A-76 contains established government policy that requires consideration of commercial sources to supply the products and services the government needs, and performance of inherently governmental activities by government personnel. This includes consideration of government sources as an alternative. The FAA follows the policies of these circulars to the extent that they are consistent with FAA's statutory authority.

**New Content: Acquisition Management Policy:  
Section 2.4 : Investment Analysis**

Figure 2.4-1 illustrates the phases and decision points of investment analysis, which is conducted to ensure FAA's critical needs are satisfied by practical and affordable solutions. Initial investment analysis evaluates alternative solutions to mission need and provides realistic options to the investment decision authority that satisfy FAA strategic and performance goals and achieve best overall value for the FAA and its customers. Final investment analysis develops detailed plans and final requirements for a proposed investment opportunity.

**Figure 2.4-1 The Phases and Decision Points of Investment Analysis**



Investment analysis is a flexible process that is tailored for the specific analysis to be performed. Tailoring by acquisition category is located [here](#). Tailoring actions may also be approved by the acquisition executive and recorded in the appropriate plan for initial or final investment analysis.

Investment analysis teams conduct major, complex investment analyses. These teams have representatives from the service organization with the mission need, the operating service organization, the ATO Operations Planning organization, the ATO business case analysis organization, and necessary key subject-matter experts from such disciplines as system safety, information security, human factors, test, and integrated logistics. In all cases, organizations conducting investment analysis apply the standard processes and guidelines located in the investment analysis section of the FAST toolset.

Investment analysis is conducted within context of all planned or in-place FAA assets, capabilities, and resources described in the enterprise architecture. Recommendations are

consistent with and support FAA strategic and performance goals and the enterprise architecture.

NAS and non-NAS roadmaps in the enterprise architecture establish when an operational capability must be in place. This, in turn, determines when investment analysis should be complete to allow sufficient time to acquire and deploy a suitable solution. The key is to balance the timeliness of the analysis with the rigorous development of quantitative data needed by the investment decision authority to make an informed investment decision.

Cost-effective, operationally suitable commercial or non-developmental solutions are preferred over developmental alternatives when performance and lifecycle support costs are acceptable.

Investment programs are structured into manageable segments approved incrementally by the investment decision authority. Each segment is normally five years or less, and may be divided into technology development or demonstration followed by production and deployment. Production and deployment may also be divided into useful segments to reflect agency funding and operational priorities. Cost, schedule, performance, and benefit projections for each segment must always be deemed beneficial to the FAA and its customers. When additional segments are required to fully implement an investment program, the service organization conducts final investment analysis and brings each sequential segment to the investment decision authority for approval.

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The FAA standard lifecycle work breakdown structure shall be used when developing cost and schedule estimates. When available, cost estimates must be based on actual or historical data.

Stakeholder participation is important throughout investment analysis. Stakeholder support for the solution approved at the initial investment decision is key to program success. Coordination with stakeholders is the responsibility of the service organization.

Investment analysis processes conform to external authorities such as those detailed in Appendix E. These authorities include, but are not limited to, the Federal laws, regulations, and guidelines

shown. In particular, the information required by OMB Circular A-11, *Preparation, Submission, and Execution of the Budget* is generated, the requirements of OMB Circular A-76, *Performance of Commercial Activities* are considered, and the guidance of OMB Circular A-94, *Guidelines and Discount Rates for Benefit Cost Analysis of Federal Programs* (as annually updated) is followed. OMB Circular A-11 contains Federal policy for planning, budgeting, and managing capital assets. OMB Circular A-94 provides guidelines and values for use in conducting federal investment analyses, including the appropriate selection of analytical technique and decision criterion. It also prescribes the treatment of inflation and discounting. OMB Circular A-76 contains established government policy that requires consideration of commercial sources to supply the products and services the government needs, and performance of inherently governmental activities by government personnel. This includes consideration of government sources as an alternative. The FAA follows the policies of these circulars to the extent that they are consistent with FAA's statutory authority.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.4 : Investment Analysis**

The ~~Chief Operating Officer~~ **investment decision authority** (ATO) or Associate or see Assistant **Table** Administrator (non-ATO 1.2.5.1) of the line of business with the mission need:

- Makes the decision to enter investment analysis.

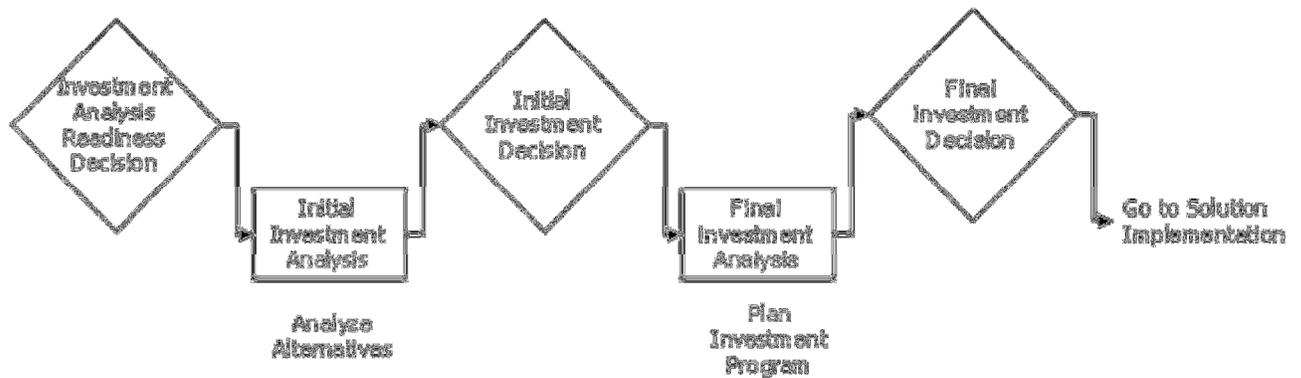
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**Section 1.2.1 : Investment Analysis**

**Old Content:** Acquisition Management Policy:  
**Section 1.2.1 : Investment Analysis**

Figure 2.4-1 illustrates the phases and decision points of investment analysis, which is conducted to ensure FAA's critical needs are satisfied by practical and affordable solutions. Initial investment analysis evaluates alternative solutions to mission need and provides realistic options to the Joint Resources Council that satisfy FAA strategic and performance goals and achieve best overall value for the FAA and its customers. Final investment analysis develops detailed plans and final requirements for a proposed investment opportunity.

**Figure 2.4-1 The Phases and Decision Points of Investment Analysis**



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Investment analysis is conducted within context of all planned or in-place FAA assets, capabilities, and resources described in the enterprise architecture. Recommendations are consistent with and support FAA strategic and performance goals and the enterprise architecture.

NAS and non-NAS roadmaps in the enterprise architecture establish when an operational capability must be in place. This, in turn, determines when investment analysis should be complete to allow sufficient time to acquire and deploy a suitable solution. The key is to balance the timeliness of the analysis with the rigorous development of quantitative data needed by the Joint Resources Council to make an informed investment decision.

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Investment programs are structured into manageable phases approved incrementally by the Joint Resources Council. Each phase is normally five years or less, and may be divided into technology development or demonstration followed by production and deployment. Production and deployment may also be divided into useful segments to reflect agency funding and operational priorities. Cost, schedule, performance, and benefit projections for each phase must always be deemed beneficial to the FAA and its customers. When additional phases are required

to fully implement an investment program, the service organization conducts final investment analysis and brings each sequential phase to the Joint Resources Council for approval.

If a nonmaterial solution emerges during investment analysis that satisfies the need, can be achieved within approved budgets, and is operationally acceptable to the user, it may be implemented without proceeding further in the lifecycle management process. This determination is made by the Vice President or Director of the service organization with the mission need with the concurrence of the appropriate enterprise architecture control board.

Affordability and accurate cost and schedule estimates are key factors in the decision to approve a new investment program. During initial investment analysis, the capital investment team assesses the budget impact and relative contribution to agency goals of each alternative solution to mission need against other ongoing and proposed investment programs in the FAA's financial baseline. During final investment analysis, they assess the budget impact of the proposed investment program. Results are reported to the Joint Resources Council and included in the business case analysis report. Appendix A contains the membership of the capital investment team.

The FAA standard lifecycle work breakdown structure shall be used when developing cost and schedule estimates. When available, cost estimates must be based on actual or historical data.

Stakeholder participation is important throughout investment analysis. Stakeholder support for the solution approved at the initial investment decision is key to program success. Coordination with stakeholders is the responsibility of the service organization.

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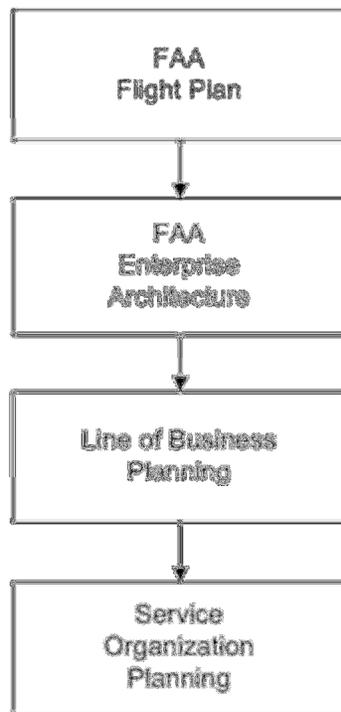
**New Content:** Acquisition Management Policy:  
**Section 1.2.1 : Integrated Strategic Planning, Management, and Budgeting**

The Government Performance and Results Act of 1993, requires Federal agencies to have measurable performance targets tied to agency goals and objectives. These targets serve as the basis for planning capital investments and measuring progress.

The FAA supports this requirement through a strategic management process that forecasts the future aviation environment and captures the goals, objectives, initiatives, and measures the agency intends to achieve in its strategic plan, the FAA flight plan. The flight plan links the long-range vision and goals for the agency directly to the service needs of customers and defines top-level performance measures and multi-year performance targets.

The flight plan sets the context for the FAA enterprise architecture and all lower-level plans and budgets within the agency. FAA lines of business align their planning to the goals and objectives in the flight plan. Service organizations within the lines of business in turn align their business and operating plans to line-of-business planning. These relationships are illustrated in Figure 1.2.1-1 Integrated Strategic Planning, Management, and Budgeting Hierarchy.

**Figure 1.2.1-1 Integrated Strategic Planning, Management, and Budgeting Hierarchy**



Service organizations develop integrated business plans and budgets across all appropriations to achieve full lifecycle support of service delivery. Planning is realistic within budgetary constraints. Success or failure in achieving performance goals influences future planning and budgeting decisions. Resources are dedicated to key activities such as mission analysis and investment analysis.

The Chief Financial Officer formulates the budget across lines of business and staff offices; tracks actual performance against planned execution based on input from these organizations; records approved resource adjustments to FAA plans and budgets; and incrementally moves FAA planning and budgeting forward each year. The ATO Vice President for Finance develops the F&E and related O&M budget requests for the Chief Financial Officer.

Planning for the Airport Improvement Program is coordinated with planning for the RE&D, F&E, and O&M appropriations so that capital assets necessary to support new and expanded airport operations are available when needed.

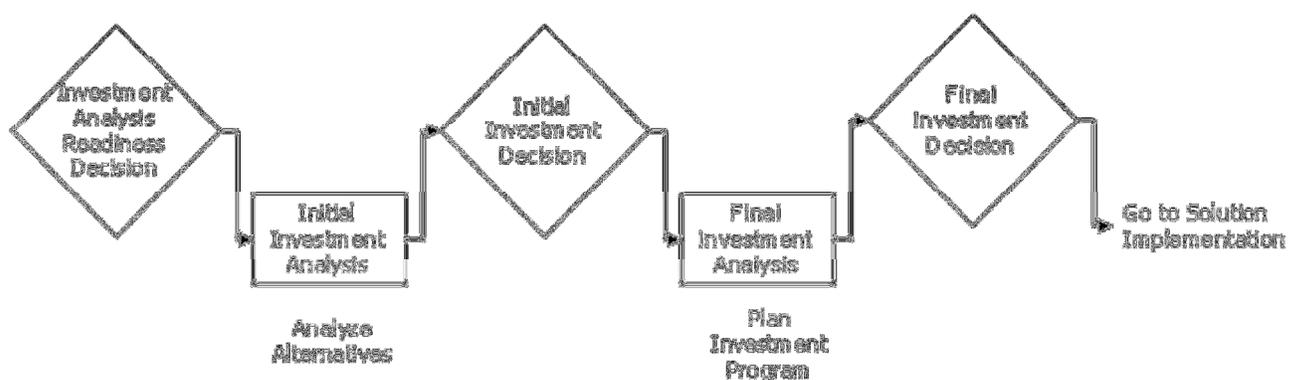
FAA reports facility and equipment expenditures to Congress in the Capital Investment Plan; research, engineering, and development resource requirements in the National Aviation Research Plan; and operations and maintenance funding requirements in the annual budget request to Congress.

**Red Line Content:** Acquisition Management Policy:

**Section 1.2.1 : ~~Investment Analysis~~ Integrated Strategic Planning, Management, and Budgeting**

Figure 2.4-1 illustrates the phases and decision points of investment analysis, which is conducted to ensure FAA's critical needs are satisfied by practical and affordable solutions. Initial investment analysis evaluates alternative solutions to mission need and provides realistic options to the ~~Joint Resources Council~~ investment decision authority that satisfy FAA strategic and performance goals and achieve best overall value for the FAA and its customers. Final investment analysis develops detailed plans and final requirements for a proposed investment opportunity.

**Figure 2.4-1 The Phases and Decision Points of Investment Analysis**



Investment analysis is a flexible process that is tailored for the specific analysis to be performed. Tailoring ~~actions by are approved by the acquisition~~ acquisition category is located here ~~executive~~ (link or the Joint to ACAT tailoring Resources policy). ~~Council and recorded~~ Tailoring actions may inalso be approved by the appropriate plan ~~acquisition executive~~ and JRC ~~recorded record of in the decision~~ appropriate plan for initial or final investment analysis.

Investment analysis teams conduct major, complex investment analyses. These teams have representatives from the service organization with the mission need, the operating service organization, the ATO Operations Planning organization, the ATO business case analysis organization, and necessary key subject-matter experts from such disciplines as system safety, information security, human factors, test, and integrated logistics. In all cases, organizations conducting investment analysis apply the standard processes and guidelines located in the investment analysis section of the FAST toolset.

Investment analysis is conducted within context of all planned or in-place FAA assets, capabilities, and resources described in the enterprise architecture. Recommendations are consistent with and support FAA strategic and performance goals and the enterprise architecture.

NAS and non-NAS roadmaps in the enterprise architecture establish when an operational capability must be in place. This, in turn, determines when investment analysis should be complete to allow sufficient time to acquire and deploy a suitable solution. The key is to balance the timeliness of the analysis with the rigorous development of quantitative data needed by the ~~Joint Resources Council~~ investment decision authority to make an informed investment decision.

Cost-effective, operationally suitable commercial or non-developmental solutions are preferred over developmental alternatives when performance and lifecycle support costs are acceptable.

Investment programs are structured into manageable ~~phases~~ segments approved incrementally by the ~~Joint Resources Council~~ investment decision authority. Each ~~phase~~ segment is normally five years or less, and may be divided into technology development or demonstration followed by production and deployment. Production and deployment may also be divided into useful segments to reflect agency funding and operational priorities. Cost, schedule, performance, and benefit projections for each ~~phase~~ segment must always be deemed beneficial to the FAA and its customers. When additional ~~phases~~ segments are required to fully implement an investment program, the service organization conducts final investment analysis and brings each sequential ~~phase~~ segment to the ~~Joint Resources Council~~ investment decision authority for approval.

If a nonmaterial solution emerges during investment analysis that satisfies the need, can be achieved within approved budgets, and is operationally acceptable to the user, it may be implemented without proceeding further in the lifecycle management process. This determination is made by the Vice President or Director of the service organization with the mission need with the concurrence of the appropriate enterprise architecture control board.

Affordability and accurate cost and schedule estimates are key factors in the decision to approve a new investment program. During initial investment analysis, the capital investment team assesses the budget impact and relative contribution to agency goals of each alternative solution to mission need against other ongoing and proposed investment programs in the FAA's financial baseline. During final investment analysis, they assess the budget impact of the proposed investment program. Results are reported to the ~~Joint Resources Council~~ investment decision authority and included in the business case analysis report. Appendix A contains the membership of the capital investment team.

The FAA standard lifecycle work breakdown structure shall be used when developing cost and schedule estimates. When available, cost estimates must be based on actual or historical data.

Stakeholder participation is important throughout investment analysis. Stakeholder support for the solution approved at the initial investment decision is key to program success. Coordination with stakeholders is the responsibility of the service organization.

Investment analysis processes conform to external authorities such as those detailed in Appendix E. These authorities include, but are not limited to, the Federal laws, regulations, and guidelines shown. In particular, the information required by OMB Circular A-11, *Preparation, Submission, and Execution of the Budget* is generated, the requirements of OMB Circular A-76, *Performance of Commercial Activities* are considered, and the guidance of OMB Circular A-94, *Guidelines and Discount Rates for Benefit Cost Analysis of Federal Programs* (as annually updated) is followed. OMB Circular A-11 contains Federal policy for planning, budgeting, and managing capital assets. OMB Circular A-94 provides guidelines and values for use in conducting federal investment analyses, including the appropriate selection of analytical technique and decision criterion. It also prescribes the treatment of inflation and discounting. OMB Circular A-76 contains established government policy that requires consideration of commercial sources to supply the products and services the government needs, and performance of inherently governmental activities by government personnel. This includes consideration of government sources as an alternative. The FAA follows the policies of these circulars to the extent that they are consistent with FAA's statutory authority.

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### **Section 1.2.1 : Integrated Strategic Planning, Management, and Budgeting**

**Old Content:** Acquisition Management Policy:

### **Section 1.2.1 : Integrated Strategic Planning, Management, and Budgeting**

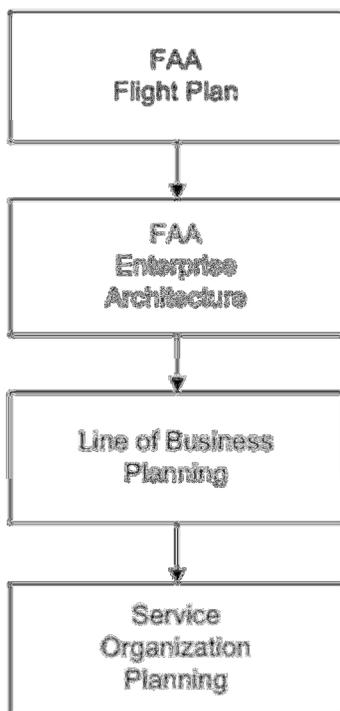
The Government Performance and Results Act of 1993, requires Federal agencies to have measurable performance targets tied to agency goals and objectives. These targets serve as the basis for planning capital investments and measuring progress.

The FAA supports this requirement through a strategic management process that forecasts the future aviation environment and captures the goals, objectives, initiatives, and measures the agency intends to achieve in its strategic plan, the FAA Flight Plan. The Flight Plan links the long-range vision and goals for the agency directly to the service needs of customers and defines top-level performance measures and multi-year performance targets.

The Flight Plan sets the context for the FAA Enterprise Architecture and all lower-level plans and budgets within the agency. FAA lines of business align their planning to the goals and objectives in the Flight Plan. Service organizations within the lines of business in turn align their business and operating plans to implement line-of-business planning. The Joint Resources Council (JRC) and subordinate investment review boards and councils (See Sections 1.2.3 and 1.2.4) align and coordinate activity across service organizations in support of the strategic plan.

These relationships are illustrated in Figure 1.2.1-1 Integrated Strategy Planning, Management, and Budgeting Hierarchy.

**Figure 1.2.1-1 Integrated Strategic Planning, Management, and Budgeting Hierarchy**



Service organizations develop integrated business plans and budgets across all appropriations to achieve full lifecycle support of service delivery. Planning is realistic within budgetary constraints. Success or failure in achieving performance goals influences future planning and budgeting decisions. Resources are dedicated to key activities such as mission analysis and investment analysis.

The Chief Financial Officer is responsible for budget formulation across lines of business and staff offices; tracking actual performance against planned execution based on input from these organizations; recording approved resource adjustments to FAA plans and budgets; and incrementally moving FAA planning and budgeting forward each year. The ATO Vice President for Finance develops the F&E and related O&M budget requests for the Chief Financial Officer.

Planning for the Airport Improvement Program is coordinated with planning for the RE&D, F&E, and O&M appropriations so that capital assets necessary to support new and expanded airport operations are available when needed.

FAA reports facility and equipment expenditures to Congress in the Capital Investment Plan; research, engineering, and development resource requirements in the National Aviation Research

Plan; and operations and maintenance funding requirements in FAA's annual budget request to Congress.

**New Content:** Acquisition Management Policy:

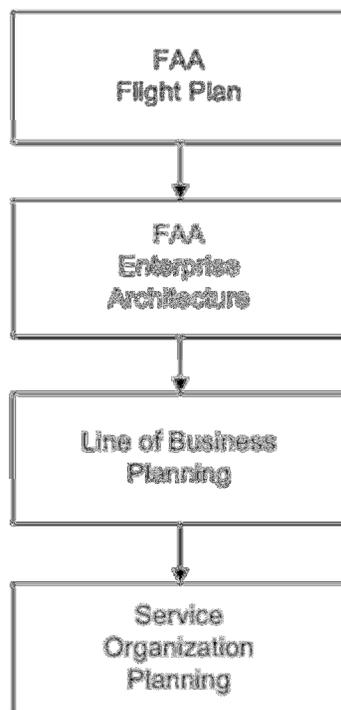
### **Section 1.2.1 : Integrated Strategic Planning, Management, and Budgeting**

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The flight plan sets the context for the FAA enterprise architecture and all lower-level plans and budgets within the agency. FAA lines of business align their planning to the goals and objectives in the flight plan. Service organizations within the lines of business in turn align their business and operating plans to line-of-business planning. These relationships are illustrated in Figure 1.2.1-1 Integrated Strategic Planning, Management, and Budgeting Hierarchy.

**Figure 1.2.1-1 Integrated Strategic Planning, Management, and Budgeting Hierarchy**



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**Red Line Content:** Acquisition Management Policy:

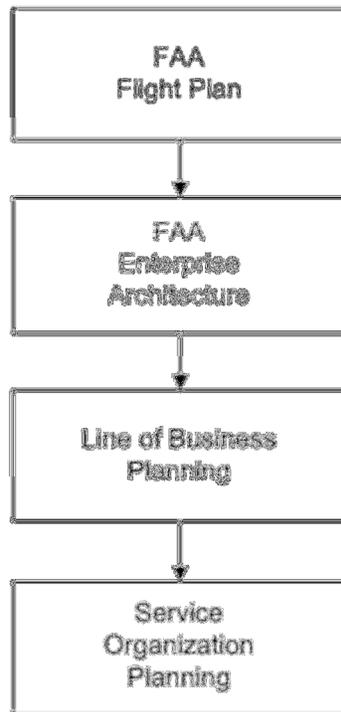
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The ~~Flight~~flight ~~Plan~~plan sets the context for the FAA ~~Enterprise~~enterprise ~~Architecture~~architecture and all lower-level plans and budgets within the agency. FAA lines of business align their planning to the goals and objectives in the ~~Flight~~flight ~~Plan~~plan. Service organizations within the lines of business in turn align their business and operating plans to ~~implement~~ line-of-business planning. ~~The Joint Resources Council (JRC) and subordinate investment review boards and councils (See Sections 1.2.3 and 1.2.4) align and coordinate activity across service organizations in support of the strategic plan.~~ These relationships are illustrated in Figure 1.2.1-1 Integrated ~~Strategy~~Strategic Planning, Management, and Budgeting Hierarchy.

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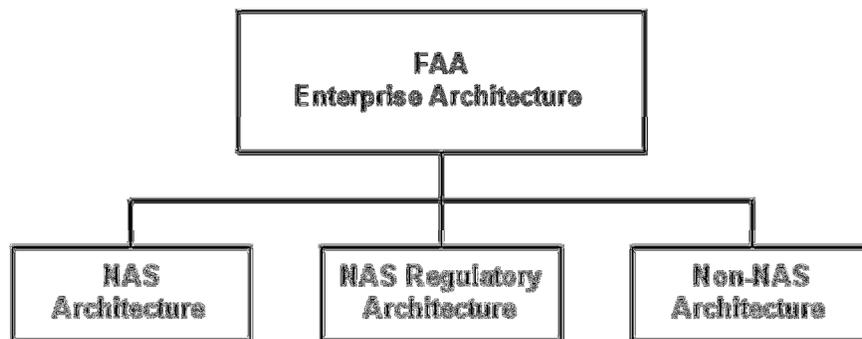
### **Section 1.2.2 : Enterprise Architecture**

**Old Content:** Acquisition Management Policy:

#### **Section 1.2.2 : Enterprise Architecture**

The enterprise architecture defines the operational and technical framework for all capital assets of the FAA. It describes the agency's current and target architectures, as well as the transition strategy for moving from the current to the target architecture. The enterprise architecture is approved annually by the Joint Resources Council in support of FAA budget and strategic management processes.

The enterprise architecture has three segments: the National Airspace System (NAS) architecture, the NAS regulatory architecture; and the non-NAS architecture (See Figure 1.2.2-1 FAA Enterprise Architecture).



**Figure 1.2.2-1 FAA Enterprise Architecture**

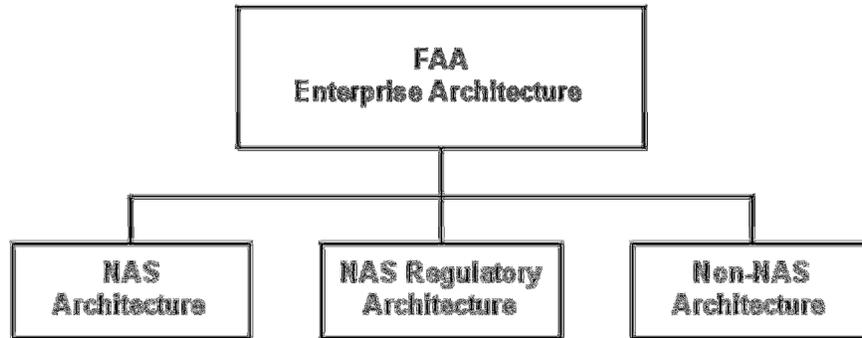
The Chief Information Officer has responsibility for maintaining the enterprise architecture. The Chief Operating Officer of the Air Traffic Organization (ATO) is delegated responsibility to develop and implement the NAS architecture.

**New Content:** Acquisition Management Policy:

#### **Section 1.2.2 : Enterprise Architecture**

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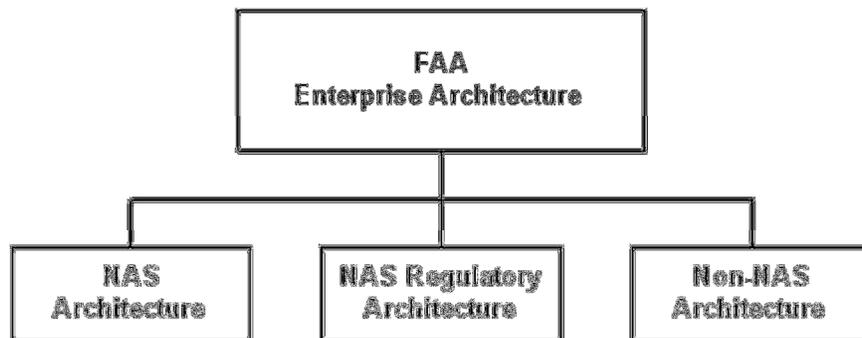
**Figure 1.2.2-1 FAA Enterprise Architecture**

The Chief Information Officer maintains the enterprise architecture. The Chief Operating Officer of the Air Traffic Organization (ATO) is delegated responsibility to develop and implement the NAS architecture.

**Red Line Content:** Acquisition Management Policy:  
**Section 1.2.2 : Enterprise Architecture**

The enterprise architecture defines the operational and technical framework for all capital assets of the FAA. It describes the agency’s current and target architectures, as well as the transition strategy for moving from the current to the target architecture. The enterprise architecture is approved annually by the Joint Resources Council in support of FAA budget and strategic management processes.

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### **Section 1.2.3 : Service Organizations**

**Old Content:** Acquisition Management Policy:

#### **Section 1.2.3 : Service Organizations**

Acquisition management policy is structured to apply FAA investment resources to the cost-efficient delivery of safe, secure, and economic services to its customers. The delivery of these services is accomplished through service organizations, which are responsible and accountable for lifecycle management of assigned services.

A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

Service organizations bring together the stakeholders and specialists necessary to plan, obtain, manage, and sustain assigned services throughout their lifecycle. A service may be delivered directly to a customer, such as flight planning for general aviation, or to other service organizations that deliver end services to customers. Together, service organizations span the spectrum of FAA activity and responsibility.

**New Content:** Acquisition Management Policy:

#### **Section 1.2.3 : Service Management**

Acquisition management policy is structured to apply FAA investment resources to the cost-effective delivery of safe and secure services to its customers. The delivery of these services is accomplished through service organizations, which are responsible and accountable for lifecycle management of service delivery.

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Service organizations bring together the stakeholders and specialists necessary to plan, obtain, manage, and sustain assigned services throughout their lifecycle. A service may be delivered directly to a customer, such as flight planning for general aviation, or to other service organizations that deliver end services to customers. Together, service organizations span the spectrum of FAA activity and responsibility.

Service organizations manage service delivery by means of integrated portfolios of capital investments and operational assets. These portfolios includes investment assets under acquisition; fielded equipment, legacy systems, infrastructure, and facilities; and all other types of resources.

Service organizations perform service analysis annually to determine what capabilities must be in place now and in the future to meet agency goals and the service needs of customers and to move planning forward each year. Results are captured in enterprise architecture roadmaps, which are the transition plans for moving the current “as is” architecture to the future “to be” state. These roadmaps are the foundation for LOB business plans, which in turn are the basis for service organization operating plans.

The operating plan of each service organization specifies how it will manage its operational assets and investment initiatives over time to sustain and improve service delivery. Each operating plan is maintained on a continuing basis and updated yearly to reflect progress against plan, congressional or executive direction, emerging customer needs, and critical aviation incidents. Service organizations track performance, accomplishments, and resource expenditures relative to the operating plan, and take corrective action as necessary to achieve agreed upon goals and objectives. Service organizations work closely with each other to manage shared assets efficiently and effectively.

The Office of Management and Budget (OMB) directs all government agencies to use an earned value management system that complies with the industry EVMS Standard, EIA-748 for capital investment programs involving development, modernization, or enhancement. Service organizations comply with this directive, which includes an integrated baseline review of cost and schedule projections within six months of contract award or program baseline approval. The earned-value management focal point reports the earned-value status of major investment programs to the Joint Resources Council quarterly. Earned-value management data is also provided on all investment programs within the service organization investment portfolio at semi-annual service-level reviews.

Service organizations manage investment programs during solution implementation within controlled acquisition program baselines approved at the final investment decision. They take action to correct negative variance from any cost, schedule, or performance baseline measure. Negative variances that exceed 5 percent must be reported to the investment decision authority that approved the investment. Negative variances that exceed 10 percent must be reported to the Joint Resources Council quarterly and at semi-annual service-level reviews along with an explanation of the cause(s), impact on service delivery, and a recovery strategy. The Administrator must notify the Congress of any program cost or schedule variance exceeding 50 percent and must either terminate the activity or justify why it should be continued and provide a recovery plan. When the investment decision authority determines an investment program cannot recover from a degenerating negative baseline variance, it may elect to rebaseline the effort by adding resources or changing its scope or schedule, or it may decide to terminate the activity.

**Red Line Content:** Acquisition Management Policy:  
**Section 1.2.3 : Service ~~Organizations~~-Management**

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Acquisition management policy is structured to apply FAA investment resources to the cost-~~efficient~~effective delivery of safe, ~~secure~~, and ~~economic~~secure services to its customers. The delivery of these services is accomplished through service organizations, which are responsible and accountable for lifecycle management of ~~assigned~~service ~~services~~delivery.

A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions. ~~Service~~Service organizations bring together the stakeholders and specialists necessary to plan, obtain, manage, and sustain assigned services throughout their lifecycle. A service may be delivered directly to a customer, such as flight planning for general aviation, or to other service organizations that deliver end services to customers. Together, service organizations span the spectrum of FAA activity and responsibility.

*Service organizations manage service delivery by means of integrated portfolios of capital investments and operational assets. These portfolios includes investment assets under acquisition; fielded equipment, legacy systems, infrastructure, and facilities; and all other types of resources.*

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#### **Section 1.2.4.1 : Portfolio Selection Criteria**

**Old Content:** Acquisition Management Policy:

#### **Section 1.2.4.1 : Portfolio Selection Criteria**

The FAA uses standard criteria for selecting, evaluating, and optimizing its investment portfolio. The ATO Acquisition and Business Services organization works with the lines of business to evaluate the criteria each year against cumulative experience and event-driven data and recommend changes for Joint Resources Council approval when warranted. The Joint Resources Council and its subordinate review boards use the standard criteria when evaluating new investment opportunities for inclusion in a service portfolio, when evaluating the status of on-going investment programs within the portfolio, and when evaluating the efficiency and effectiveness of operational portfolio assets.

The three categories of FAA portfolio management criteria are:

- Investment selection criteria. FAA investment review boards apply standard quantitative and judgmental selection criteria and scoring factors to assess the relative contribution of investment options for inclusion in the agency investment portfolio in the following areas: benefits; lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals; and risk associated with such factors as cost, schedule, technology, security, and safety.
- Investment control criteria. The FAA employs earned value management, risk management, and testing to determine how efficiently developmental, modernization, and enhancement investment programs are performing relative to plan during solution implementation. These management controls identify and quantify variances to baseline cost, schedule, performance, and benefit measures as the basis for corrective action. For investment programs that do not involve development, modernization, or enhancement, the FAA applies multiple control techniques such as independent review of program cost and schedule estimates; comparison of spend plans against budget authorization and service needs; comparison of actual cost and schedule results against planning estimates;

and periodic program and data reviews against plan. In all cases, the impact of specific program cost and schedule variances on overall service delivery and other elements of a service portfolio is determined so appropriate corrective action can be planned and when approved, executed.

- Operational evaluation criteria. The FAA periodically measures the efficiency (technical quality) and effectiveness (business value) of operational assets to provide a basis for sustaining and improving service delivery. Information is used to determine whether operational assets should be modified, upgraded, or removed from service.

**New Content: Acquisition Management Policy:  
Section 1.2.4.1 : Portfolio Management Structure**

The FAA implements portfolio management at multiple organizational levels and within a unified functional framework:

**Corporate Portfolio Management** - The Joint Resources Council manages the overall FAA investment portfolio by means of the following:

***Enterprise Architecture:*** The enterprise architecture portrays the as is and to be state of FAA operational assets along with roadmaps that lay out over time what investments will be made to achieve the end-state configuration. The enterprise architecture is developed and updated annually by analyzing the functions the FAA needs to provide based on identified gaps in needed services over time. This view of the corporate-level portfolio is presented to the JRC each year for approval.

***FAA Budget:*** The budget is developed using the strategic management process that ties it to the needs in the enterprise architecture and the goals in the flight plan to create a unified performance-based budget. The budget is reviewed each year considering several corporate-level portfolio measures including progress in meeting flight plan goals, budget allocations relative to flight plan targets, and assessments of under-performing programs using EVM. This information is presented to the Joint Resources Council annually when it reviews the agency budget submission.

***Service Portfolios:*** Each service organization develops and maintains a service portfolio of investment programs and operational assets that optimize service delivery over time. Each service portfolio is presented to the Joint Resources Council at semi-annual service-level reviews.

**Line-of-Business Portfolio Management** – Each line of business oversees, coordinates, and integrates the service portfolios of its service organizations to achieve the greatest overall contribution to agency strategic goals and targets.

**Service Portfolio Management** - Service organizations (e.g., terminal services, en-route services, regulatory services, certification services) manage integrated sets of investment and operational assets to optimize service delivery over time.

**Functional Portfolio Management** - The NexGen and Operations Planning organization oversees investment packages that cut across service organizations to provide fully integrated functional capability for the National Airspace System in such areas as weather, surveillance, communications, automation, and navigation. More than one service organization may be involved with implementation and in-service management of these investment packages.

**Red Line Content:** Acquisition Management Policy:

**Section 1.2.4.1 : Portfolio ~~Selection Criteria~~Management Structure**

The FAA ~~uses standard criteria for~~implements portfolio management at selecting ~~multiple~~organizational levels and ~~optimizing its investment~~within a unified portfolio.functional ~~The~~framework:

~~Corporate ATO Portfolio Acquisition Management~~ and Business Services organization works with ~~The Joint Resources Council manages~~ the ~~lines~~overall of business ~~FAA investment~~to portfolio by evaluate~~means of~~ the criteria ~~following:~~

~~Enterprise Architecture:~~ each year ~~The enterprise~~ against ~~architecture portrays the~~ cumulative experience ~~as is~~ and event driven ~~to~~ data and recommend changes for Joint Resources Council approval when ~~be state of FAA operational assets along with roadmaps that~~ warranted ~~lay~~ The Joint Resources Council and its subordinate review boards use ~~out over time what investments will be made to achieve~~ the standard criteria ~~end-state~~ when ~~configuration,~~ evaluating new investment opportunities for inclusion in a service ~~The enterprise architecture is developed and updated annually by~~ portfolio, ~~analyzing~~ when evaluating ~~the functions~~ the status ~~FAA~~ of ~~needs~~ on-going ~~to~~ investment programs within the ~~provide based on identified~~ portfolio ~~gaps~~ and when evaluating the ~~in needed services over~~ efficiency ~~time,~~ and effectiveness ~~This view~~ of operational portfolio ~~the~~ assets. ~~The corporate-level~~ three categories of FAA portfolio management criteria ~~portfolio is presented to the JRC each~~ are: Investment ~~year~~ selection criteria ~~for approval.~~ ~~FAA investment Budget:~~ review boards apply standard quantitative and judgmental selection criteria and scoring factors ~~The budget is developed using the strategic management process that ties it~~ to assess the relative contribution of investment options for inclusion ~~needs~~ in the agency investment ~~enterprise~~ portfolio in ~~architecture and~~ the following areas: ~~goals~~ benefits; ~~in~~ lifecycle ~~the~~ cost; ~~flight~~ benefit ~~plan~~ to cost ~~create~~ ratio; ~~a~~ consistency ~~unified~~ with ~~performance-based~~ the ~~budget,~~ enterprise ~~The~~ architecture; ~~budget~~ impact on flight plan ~~is reviewed each year~~ goals; ~~considering~~ and ~~several~~ risk ~~corporate-level~~ associated with such factors as ~~portfolio measures including progress in~~ cost, ~~meeting~~ schedule, ~~flight~~ technology, ~~plan~~ security ~~goals,~~ and safety. Investment ~~budget~~ control ~~allocations~~ criteria ~~relative~~ The FAA employs ~~to flight plan~~ earned ~~targets,~~ value ~~and~~ management, ~~assessments~~ risk ~~of~~ management, ~~under-performing~~ and testing ~~programs using~~ to ~~EVM,~~ determine how efficiently ~~This information is~~ developmental, ~~presented~~ modernization, ~~to~~ and enhancement investment programs are performing relative to plan during solution implementation ~~the Joint Resources Council annually when it reviews the agency budget submission.~~

~~Service Portfolios:~~ These management controls identify ~~Each service organization develops~~ and quantify ~~maintains~~ variances to baseline ~~a service portfolio~~ cost, ~~of~~ schedule, ~~investment~~ performance, ~~programs~~ and benefit measures as the basis for corrective action ~~operational assets that optimize service delivery over time.~~ For investment programs that do ~~Each~~ not involve ~~service~~ development, ~~portfolio~~ modernization, ~~is~~ or ~~presented~~ enhancement, ~~to~~ the FAA applies multiple control ~~Joint~~ techniques such as ~~Resources Council at~~ independent ~~semi-annual~~

review service-level reviews.

Line-of-program cost-Business and Portfolio schedule Management estimates; comparison Each line of spend business plans oversees, against coordinates, budget authorization and and integrates the service needs; comparison portfolios of actual cost and schedule results against planning its service organizations to achieve the greatest estimates; overall and contribution to agency periodic programs strategic goals and data targets.

Service reviews Portfolio against Management plan- In all Service organizations cases (e.g., the terminal impacts services, of en-route specific services, program regulatory cost services, and certification schedule services) variances on overall service delivery manage integrated sets of investment and other operational elements of a assets to optimize service portfolio delivery is over determined time.

Functional so Portfolio appropriate Management corrective action can be planned and when The NexGen and Operations Planning organization approved, oversees executed. Operational investment evaluation packages criteria that The FAA periodically measures the efficiency cut across service organizations to provide (technical fully quality) integrated and effectiveness functional capability (business for value) the of operational assets to provide a basis National Airspace System in such areas as for weather, sustaining surveillance, and communications, improving automation, service delivery and navigation. Information More is used to determine whether operational assets should be than one service organization may be involved with implementation modified, and upgraded, in-service or removed from management of these service investment packages.

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#### **Section 1.2.4.2 : Selecting the Investment Portfolio**

**Old Content:** Acquisition Management Policy:

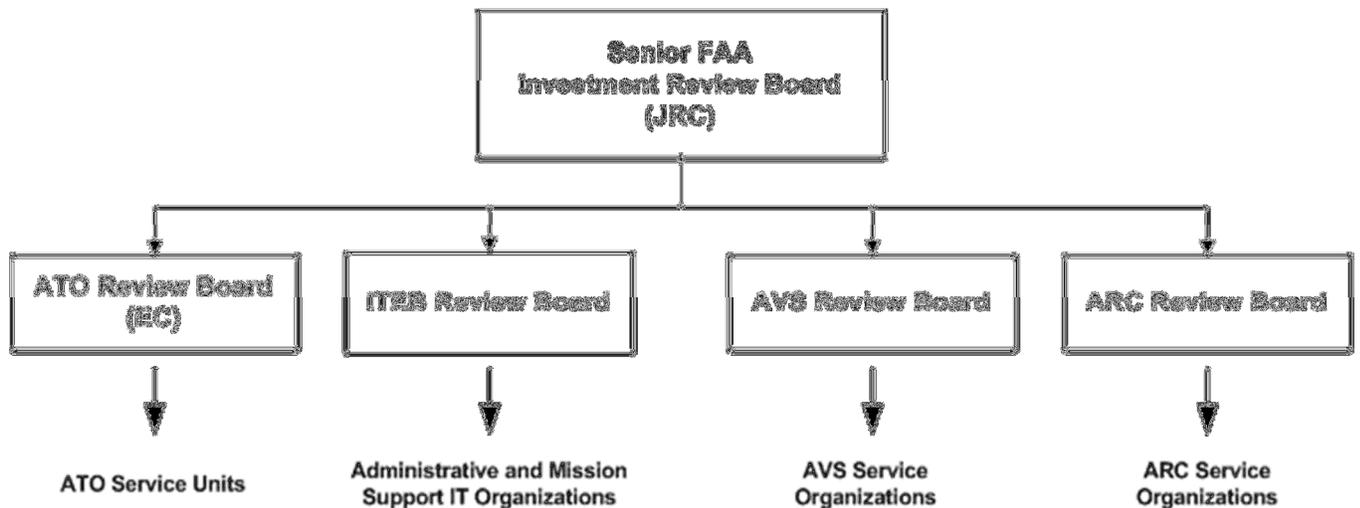
#### **Section 1.2.4.2 : Selecting the Investment Portfolio**

The Joint Resources Council selects and oversees the FAA investment portfolio. The portfolio is depicted in the FAA enterprise architecture and aligned with the F&E, R&D, and O&M budget submissions to Congress. The FAA investment portfolio consists of multiple service-level portfolios that together encompass the entire reach of FAA mission and service.

**New Content:** Acquisition Management Policy:

#### **Section 1.2.4.2 : Portfolio Management Governance**

Figure 1.2.4.2-1 depicts portfolio management governance within the FAA.



**The Joint Resources Council** oversees the FAA investment portfolio as expressed in the enterprise architecture, FAA budget, and individual service portfolios. It evaluates the performance of all investment programs and operational assets within each service against quantified baseline measures at semi-annual service-level reviews. Planned initiatives for new investment are discussed along with proposals to remove, replace, or improve operational assets with declining performance that no longer satisfy service need or are nearing the end of their service life. The JRC also aligns and coordinates investment activity across the lines of business through annual review and approval of the enterprise architecture and agency budget submissions to Congress.

**LOB review boards** align and coordinate investment activity across service organizations within a line of business. These boards ensure investment and operational resources support priority FAA strategic and performance goals; ensure there is no overlap, redundancy, or gap in service delivery; and review progress, track baseline variances, and monitor remedial planning and execution within service portfolios. Specifically, the ATO Executive Council oversees, reviews, and coordinates service portfolios related to the National Airspace System and the provision of air traffic control services (e.g., terminal, en-route, and technical operations). ARC and AVS review boards oversee and recommend investment portfolios within their line of business.

**The Information Technology Executive Board (ITEB)** reviews, oversees, and recommends administrative and mission support information technology investment portfolios.

**Service organizations** manage service delivery within their service area of responsibility. They evaluate service demand on a continuing basis and recommend changes to the service portfolio over time to optimize service delivery.

**Red Line Content:** Acquisition Management Policy:

**Section 1.2.4.2 :** Selecting the Portfolio Investment Portfolio Management Governance

*Figure 1.2.4.2-1 depicts portfolio management governance within the FAA.*



**The Joint Resources Council** ~~selects and~~ oversees the FAA investment portfolio. ~~The portfolio is depicted~~ as expressed in the ~~FAA~~ enterprise architecture, FAA budget, and aligned individual with service portfolios. It evaluates the F&E performance of all investment programs and operational assets within each service against quantified baseline measures at semi-annual service-level reviews. Planned initiatives for new investment are discussed along with proposals to remove, R&D replace, or improve operational assets with declining performance that no longer satisfy service need or are nearing the end of their service life. The JRC also aligns and O&M coordinates investment activity across the lines of business through annual review and approval of the enterprise architecture and agency budget submissions to Congress. LOB The review FAA boards align and coordinate investment portfolio activity across service organizations within a consists line of multiple business. These boards ensure investment and operational resources support priority FAA strategic and performance goals; ensure there is no overlap, redundancy, or gap in service-level delivery; and review progress, track baseline variances, and monitor remedial planning and execution within service portfolios. that Specifically, the ATO Executive Council oversees, reviews, and coordinates together service portfolios encompass related to the entire reach National Airspace System and the provision of FAA air traffic control services (e.g., terminal, en-route, and technical operations). ARC and AVS review boards oversee and recommend investment portfolios within their line of business. The Information Technology Executive Board (ITEB) reviews, oversees, and recommends administrative and mission support information technology investment portfolios. Service organizations manage service delivery within their service area of responsibility. They evaluate service demand on a continuing basis and recommend changes to the service portfolio over time to optimize service delivery.

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### **Section 1.2.4.3 : Controlling the Investment Portfolio**

**Old Content:** Acquisition Management Policy:

### **Section 1.2.4.3 : Controlling the Investment Portfolio**

Service organizations use program earned-value management to control developmental, modernization, and enhancement investment programs in the service portfolio within cost and schedule measures in the Exhibit 300 program baseline approved by the Joint Resources Council or subordinate investment review board. Service organizations test and evaluate the products of investment programs against requirements in the program requirements document to determine whether they are satisfied. The earned-value management focal point reports the earned-value status of major investment programs to the Joint Resources Council quarterly. Designated service organizations provide corrective action plans to the Joint Resources Council for approval for negative baseline variances, as required. Earned-value management data is also provided on all investment programs within the service organization investment portfolio at semi-annual service-level reviews.

**New Content:** Acquisition Management Policy:  
**Section 1.2.4.3 : Portfolio Management Criteria**

The FAA uses standard criteria for selecting, controlling, and evaluating its investment portfolio. The ATO Acquisition and Business Services organization in coordination with FAA investment decision authorities evaluate the criteria each year against cumulative experience and event-driven data and recommend changes for Joint Resources Council approval when warranted. Investment decision authorities use the standard criteria when evaluating new investment opportunities for inclusion in a service portfolio, when evaluating the status of on-going investment programs, and when evaluating the efficiency and effectiveness of operational assets.

The three categories of portfolio management criteria are:

**Selection criteria:** Investment decision authorities apply the following standard quantitative and judgmental selection criteria to assess the relative contribution of investment options for inclusion in an investment portfolio: benefits; lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals; and risk.

**Control criteria:** The FAA employs earned value management, risk management, and testing to determine how efficiently developmental, modernization, and enhancement investment programs are performing relative to plan during solution implementation. For investment programs that do not involve development, modernization, or enhancement, the FAA applies multiple control techniques such as independent review of program cost and schedule estimates; comparison of spend plans against budget authorization; comparison of actual cost and schedule results against planning estimates; and periodic program and data reviews against plan. These management controls identify and quantify variances to baseline cost, schedule, and performance measures as the basis for corrective action. Service organizations test and evaluate the products of investment programs against requirements in the program requirements document to determine whether they are satisfied.

**Evaluation criteria:** The FAA periodically measures the efficiency (technical quality) and effectiveness (business value) of operational assets to determine whether they should be upgraded, replaced, or removed from service. Service directorates evaluate in-service assets by means of post-implementation reviews and operational analyses. Post-implementation reviews determine whether performance, cost, schedule, and benefit goals are being attained. They provide the basis for corrective action, as well as lessons learned for improving agency investment management processes. Operational analysis determines trends in such factors as reliability, maintainability, supportability, obsolescence, and operating and maintenance costs. They are the basis for validating continued support for fielded assets or some other action such as upgrade, replacement, or removal from service.

**Red Line Content:** Acquisition Management Policy:  
**Section 1.2.4.3 : ~~Controlling the~~Portfolio ~~Investment Portfolio~~Management Criteria**

~~Service~~The organizations FAA uses standard criteria for selecting, controlling, and evaluating its investment portfolio. The ATO Acquisition and Business Services organization in

coordination with FAA investment decision authorities evaluate the criteria each year against cumulative experience and event-driven data and recommend changes for Joint Resources Council approval when warranted. Investment decision authorities use program the earned standard criteria when evaluating new investment opportunities for inclusion in a service portfolio, when evaluating the status of on-going investment programs, and when evaluating the efficiency and effectiveness of operational assets.

The three categories of portfolio management criteria are:

Selection criteria: Investment decision authorities apply the following standard quantitative and judgmental selection criteria to assess the relative contribution of investment options for inclusion in an investment portfolio: benefits; lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals; and risk.

Control criteria: The FAA employs earned value management, risk management, and testing to control determine how efficiently developmental, modernization, and enhancement investment programs are performing relative to plan during solution implementation. For investment programs that do not involve development, modernization, or enhancement, the service FAA portfolio applies multiple control techniques such as independent review of within program cost and schedule measures estimates; in comparison the of spend plans against budget authorization; Exhibit comparison 300 of actual cost and schedule results against planning estimates; and periodic program and data reviews against plan. These management controls identify and quantify variances to baseline approved cost, by schedule, the Joint Resources Council or subordinate investment review board and performance measures as the basis for corrective action. Service organizations test and evaluate the products of investment programs against requirements in the program requirements document to determine whether they are satisfied.

Evaluation criteria: The earned value FAA management focal point reports periodically measures the efficiency the (technical earned value quality) status of and effectiveness major (business investment value) programs of operational assets to the Joint Resources determine whether they Council should be upgraded, replaced, or removed quarterly from service. Designated Service directorates evaluate in-service organizations assets by means of post-implementation reviews and operational analyses. Post-implementation reviews determine whether performance, cost, schedule, and benefit goals are being attained. They provide the basis for corrective action plans, to the Joint Resources Council as well as lessons learned for approval improving for negative baseline agency investment management variances processes. Operational analysis determines trends in such factors as required reliability, maintainability, supportability, obsolescence, and operating and maintenance costs. Earned value They management data is also provided on all investment programs within the service organization investment portfolio at are the basis for validating continued support for fielded assets or some other action such as semi-annual upgrade, service level replacement, reviews or removal from service.

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### **Section 1.2.5 : Lifecycle Management Decision-Making**

**Old Content:** Acquisition Management Policy:

**Section 1.2.5 : Lifecycle Management Decision-Making**

Table 1.2.8-1 identifies decision-making bodies and chairpersons for the key decision points in the AMS lifecycle management process (see Section 2). The Joint Resources Council makes all investment decisions with concurrence from the Deputy Administrator. The Air Traffic Services Committee reviews all JRC investment decisions for procurement of air traffic control equipment of \$100,000,000 or more in facilities and equipment costs.

**Table 1.2.8-1 Lifecycle Management Decision-Making**

<b>Decision</b>	<b>Decision Body</b>	<b>Decision Chair</b>
Concept and requirements definition readiness decision <sup>1</sup>	None	Vice President (ATO) or Director (non-ATO)
Investment analysis readiness decision	ATO Executive Council or Subordinate Investment Review Board	Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) for the line of business
Product demonstration <sup>2</sup>	ATO service unit or LOB service management team (non-ATO)	Vice President (ATO) or Director (non-ATO)
Production <sup>2 and 3</sup>	ATO service unit or LOB service management team (non-ATO)	Vice President (ATO) or Director (non-ATO) unless otherwise designated by the JRC
In-service <sup>3</sup>	Note 3	
Initial and final investment decisions ( <i>Including new programs and extension of current capability</i> )	JRC	Acquisition Executive
Program baseline change	JRC	Acquisition Executive
F&E, RE&D, and O&M budget approvals	JRC	Acquisition Executive
Enterprise Architecture changes	JRC	Acquisition Executive

<sup>1</sup> Decision does not apply to small administrative or mission support needs managed by the ITEB unless designated.

<sup>2</sup> Decision required for developmental products. See AMS section 2.5.1.

<sup>3</sup> The JRC designates the production and in-service decision authorities at the final investment decision. If the JRC retains either of these decisions, the chair is the Acquisition Executive.

The JRC Executive Secretariat supports the Acquisition Executive, Joint Resources Council, and subordinate investment review boards in executing corporate-level decision-making responsibilities. It ensures service organizations have complied with AMS policy requirements before seeking JRC or subordinate review board decisions. The JRC Executive Secretariat also manages the JRC decision-making, service-level review, and JRC-related tailoring processes on behalf of the Acquisition Executive.

Service organizations make and are accountable for all service-level management decisions except those explicitly assigned otherwise by this policy or the Joint Resources Council.

**New Content: Acquisition Management Policy:  
Section 1.2.5 : Investment Decision-Making and Governance**

The investment decision authority (IDA) and review organization(s) for every FAA investment program are determined by acquisition category to ensure the appropriate level of oversight and tailoring is applied to each. Table 1.2.5-1 specifies the designation criteria, decision authority, and review organization(s) by acquisition category. Tailoring policy is located [here](#). Acquisition category is initially designated when an enterprise architecture roadmap specifies action must be taken now to address a high-priority agency mission or service need and before the start of concept and requirements definition. The sponsoring service organization recommends a designation to the Acquisition Executive Board, which makes the final decision and notifies the Joint Resources Council. Acquisition category designation is confirmed at the readiness for investment analysis decision when more definitive cost, schedule, performance, and risk information is available. It is finalized at the initial investment decision. A standard IDA readiness process applies to all ACAT levels for AMS decision points.

**Table 1.2.5-1 Investment Decision Authority and Review Organizations by Acquisition Category**

Acquisition Category	Designation Criteria (Highest category applies once a criterion is met)	Investment Decision Authority	Review Organizations
<b>1</b>	F&E: > \$800M Single-year F&E: > \$200M O&M: > \$500M Aggregate rating of the following is <b>high</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety	JRC	Subordinate Investment Review Board <sup>1</sup> ATO-P <sup>2</sup> ATO-F
<b>2</b>	F&E: \$300M - \$800m Single-year F&E: \$100M - \$200M O&M: \$250M - \$500M Aggregate rating of the following is <b>medium to high</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety  For Non-NAS IT: a. Enterprise-wide impact or b. Critical to mission support functions	JRC	Subordinate Investment Review Board <sup>1</sup> ATO-P <sup>2</sup> ATO-F
<b>3</b>	F&E: \$100M - \$300m Single-year F&E: \$50M -	<b>ATO Program<sup>4</sup>:</b>	ATO-P <sup>2</sup>

	\$100M O&M: \$100M -\$250M Aggregate rating of the following is <b>medium</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety  For Non-NAS IT: a. Significant impact on one or more LOBs or b. Impact on mission support functions	ATO EC, FAE  <b>Non-ATO Program<sup>4</sup>:</b> Assoc. Admin., CFO, FAE  <b>Non-NAS IT Program:</b> ITEB	ATO-F  AIO <sup>2</sup> ATO-F <sup>5</sup>  CFO
<b>4</b>	F&E: \$20M - \$100M Single-year F&E: \$20M - \$50M O&M: \$20M -\$100M Aggregate rating of the following is <b>medium to low</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety	<b>ATO Program<sup>4</sup>:</b> ATO EC, FAE  <b>Non-ATO Program<sup>4</sup>:</b> Assoc. Admin., CFO, FAE  <b>Non-NAS IT Program:</b> ITEB	ATO-P <sup>2</sup> ATO-F <sup>5</sup>  AIO <sup>2</sup> ATO-F <sup>5</sup>  CFO
<b>5</b>	F&E: < \$20M Single-year F&E: < \$20M O&M: < \$20M Aggregate rating of the following is <b>low</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety	<b>ATO Program<sup>4</sup>:</b> LOB VP, SVP-F, FAE  <b>Non-ATO Program<sup>4</sup>:</b> Assoc. Admin., CFO, FAE  <b>Non-NAS IT Program:</b> ITEB	ATO-P <sup>2</sup> ATO-F  AIO <sup>2</sup> ATO-F <sup>5</sup>  CFO

1 For example, ATO EC for NAS programs and ITEB for IT programs

2 Processes any changes to the enterprise architecture

3 Range of alternatives approved by investment decision authority

4 Excludes Non-NAS IT programs

5 Conducts financial analysis for CFO

**Red Line Content:** Acquisition Management Policy:

**Section 1.2.5 : ~~Lifecycle~~Investment Management Decision-Making and Governance**

~~Table 1.2.8-1~~ The identifies investment decision-making authority bodies (IDA) and chairpersons review organization(s) for the key decision every FAA investment points program are determined by in acquisition category to ensure the AMS lifecycle management process appropriate level of oversight (see and Section tailoring 2) is applied to each. The Table Joint 1.2.5-1 Resources Council makes specifies the designation all criteria,

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investment decision decisions authority, with concurrence and review from organization(s) the Deputy Administrator by acquisition category. The Tailoring Air Traffic policy is Services located here. Committee reviews all JRC investment decisions for procurement of air traffic control equipment of Acquisition category is initially designated when an enterprise architecture roadmap specifies action must be \$100,000,000 taken or more in facilities now to address a and high-priority equipment agency costs. Table mission 1.2.8 for Lifecycle Management service need Decision-Making Decision and Body Decision before Chair Concept the start of concept and requirements definition. readiness decision The sponsoring + None - Vice service President organization (ATO) recommends or Director a designation (non-ATO) Investment to analysis the readiness Acquisition Executive Board, which makes the final decision-ATO Executive Council or Subordinate Investment and notifies the Joint Resources Review Council. Board Chief Acquisition Operating Officer category designation (ATO) is or confirmed at the Associate or Assistant Administrator readiness for investment analysis (non-ATO) decision for the line when more definitive of cost, business Products schedule, demonstration performance, 2 ATO and service unit or risk information is LOB available. It service management team is finalized at (non-ATO) Vice the President initial (ATO) investment or decision. Director A (non-ATO) Production standard 2 IDA and readiness 3-ATO process service unit or LOB service management team applies to all ACAT levels for AMS (non-ATO) decision points.

Vice President Table (ATO) 1.2.5-1 or Director Investment Decision (non-ATO) Authority unless otherwise designated and Review Organizations by the Acquisition JRC Category

In-service 3 Note <u>Acquisition</u> 3 <u>Category</u>	Initial and final investment <u>Designation</u> decisions <u>Criteria</u> (Including new programs and extension of current capability <u>Highest category</u> <u>applies once a criterion is met</u> )	JRC <u>Investment Decision</u> <u>Authority</u>	<u>Acquisition</u> <u>Review</u> <u>Executive Organizations</u>
Program baseline change JRC Acquisition Executive 1	F&E: <u>&gt; \$800M</u> <u>Single-year R&amp;D, E: and &gt;</u> <u>0 \$200M</u> <u>O&amp;M: &gt; \$500M</u> <u>Aggregate rating of the following is high:</u> <u>a. Political sensitivity</u> <u>b. budget Risk</u> <u>c. Complexity</u> <u>d. Likelihood of changes</u> <u>approvals to NAS safety</u>	JRC	<u>Acquisition</u> <u>Subordinate</u> <u>Executive Investment</u> <u>Review Board 1</u> <u>ATO-P2</u> <u>ATO-F td &gt;</u>
2	Enterprise <u>F&amp;E: \$300M - \$800m</u> <u>Single-year F&amp;E: \$100M - \$200M</u> <u>O&amp;M: \$250M - \$500M</u>	JRC	<u>Acquisition</u> <u>Subordinate</u> <u>Executive Investment</u> <u>Review Board 1</u>

	<p><u>Aggregate rating of the following is medium to high:</u></p> <p><u>a. Political sensitivity</u></p> <p><u>b. Risk</u></p> <p><u>c. Complexity</u></p> <p><u>d. Likelihood</u> Architecture of changes <u>to NAS safety</u></p> <p><u>For Non-NAS IT:</u></p> <p><u>a. Enterprise-wide impact or</u></p> <p><u>b. Critical to mission support functions</u></p>		<p><u>ATO-P2</u></p> <p><u>ATO-F</u></p>
<u>3</u>	<p><del>1 Decision does F&amp;E: not \$100M apply to \$300M</del></p> <p><u>Single-year small F&amp;E: administrative \$50M or mission \$100M</u></p> <p><u>O&amp;M: support \$100M needs \$250M</u></p> <p><u>Aggregate managed by rating of the ITEB following unless is designated medium:</u></p> <p><u>a. 2 Decision required Political for sensitivity</u></p> <p><u>b. developmental Risk</u></p> <p><u>c. products Complexity</u></p> <p><u>d. See AMS section Likelihood of changes 2.5.1. 3 to The NAS JRC safety</u></p> <p><u>For designates Non-NAS the IT:</u></p> <p><u>a. production and Significant impact in service on decision authorities at the one or more LOBs final or</u></p> <p><u>b. investment Impact decision on If the mission support JRC functions</u></p>	<p>ATO retains <u>Program 4:</u></p> <p><u>ATO either EC, or FAE</u></p> <p>-</p> <p>-</p> <p><u>Non-ATO</u></p> <p>these <u>Program 4:</u></p> <p>decisions, <u>Assoc.</u></p> <p>the <u>Admin., chair CFO,</u></p> <p>is <u>FAE</u></p> <p>-</p> <p>-</p> <p><u>Non the Acquisition NAS IT Executive Program: ITEB</u></p> <p>-</p>	<p><u>ATO-P2</u></p> <p><u>ATO-F</u></p> <p>-</p> <p>-</p> <p><u>AIO2</u></p> <p><u>ATO-F5</u></p> <p>-</p> <p>-</p> <p><u>CFO</u></p>
<u>The 4</u>	<p>F&amp;E: <u>JRC \$20M Executive \$100M</u></p> <p><u>Single-year F&amp;E: \$20M - \$50M</u></p> <p><u>O&amp;M: \$20M - \$100M</u></p> <p><u>Aggregate Secretariat supports rating of the Acquisition following</u></p>	<p>ATO Program 4:</p> <p>ATO EC, FAE</p> <p>Non-making <u>ATO</u></p> <p>responsibilities <u>Program 4:</u></p> <p><u>Assoc. It Admin.,</u></p> <p>ensures <u>CFO, service FAE</u></p> <p>-</p>	<p>ATO-P2</p> <p>ATO-F5</p> <p>AIO2</p> <p>ATO-F5</p> <p>CFO</p>

	Executive, <u>is</u> Joint Resources <u>medium to low</u> : <u>a. and Political subordinate sensitivity</u> <u>b. investment Risk</u> <u>c. review Complexity</u> <u>d. boards in executing Likelihood of changes corporate-level to decision NAS safety</u>	<u>Non-NAS organizations IT have Program: ITEB</u>	
5	F&E: <u>complied with \$20M Single-year AMS F&amp;E: policy requirements \$20M O&amp;M: before seeking \$20M Aggregate JRC or subordinate review board rating of the following is decisions low:</u> <u>a. The Political JRC sensitivity</u> <u>b. Executive Risk</u> <u>c. Secretariat Complexity</u> <u>d. also manages the JRC Likelihood of changes to decision NAS safety</u>	ATO Program 4: VP, SVP-making <u>F</u> , service <u>FAE</u> <u>Non-level ATO review Program 4: Assoc. Admin., and CFO, JRC FAE</u> <u>Non-related tailoring NAS processes IT on Program: ITEB</u>	ATO-P2 ATO-F  AIO2 ATO-F5  CFO

- 1 behalf For of example, the Acquisition ATO EC Executive. Service for organizations make NAS programs and are accountable ITEB for all IT service-level programs  
2 Processes management any decisions changes to the except enterprise those architecture  
3 Range explicitly assigned otherwise of alternatives approved by this investment decision policy authority  
4 or Excludes the Non-NAS Joint IT Resources programs  
5 Council. Conducts financial analysis for CFO

### Section 1.2.7 : Service-Level Reviews

**Old Content:** Acquisition Management Policy:

#### **Section 1.2.7 : Service-Level Reviews**

The Joint Resources Council conducts semi-annual service-level reviews to evaluate performance against quantified measures for the portfolio of programs and operational assets managed by each service organization. Progress is reported against performance targets in the Exhibit 300 program baseline of each investment program within the portfolio, as well as on action plans undertaken to correct deviations from cost, schedule, performance, and benefit baseline objectives.

Service-level reviews also evaluate the performance of the overall investment portfolio, including the results of post implementation reviews and operational analyses. Proposals for new investment initiatives are discussed along with proposals to remove from service or modify those operational assets that are no longer needed or nearing the end of their service life.

**New Content:** Acquisition Management Policy:

**Section 1.2.7 : Service-Level Reviews**

The Joint Resources Council conducts semi-annual service-level reviews to evaluate performance against quantified measures for the portfolio of programs and operational assets managed by each service organization. Progress is reported against performance targets in the acquisition program baseline of each investment program within the portfolio, as well as on action plans undertaken to correct deviations from cost, schedule, and performance baseline objectives.

Service-level reviews also evaluate the performance of the overall investment portfolio, including the results of post implementation reviews and operational analyses. Proposals for new investment initiatives are discussed along with proposals to remove from service or modify those operational assets that are no longer needed or nearing the end of their service life.

**Red Line Content:** Acquisition Management Policy:

**Section 1.2.7 : Service-Level Reviews**

The Joint Resources Council conducts semi-annual service-level reviews to evaluate performance against quantified measures for the portfolio of programs and operational assets managed by each service organization. Progress is reported against performance targets in the ~~Exhibit~~acquisition 300 program baseline of each investment program within the portfolio, as well as on action plans undertaken to correct deviations from cost, schedule, ~~performance,~~ and ~~benefit~~performance baseline objectives.

Service-level reviews also evaluate the performance of the overall investment portfolio, including the results of post implementation reviews and operational analyses. Proposals for new investment initiatives are discussed along with proposals to remove from service or modify those operational assets that are no longer needed or nearing the end of their service life.

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**Section 1.2.14 : AMS Lifecycle Management Documentation**

**Old Content:** Acquisition Management Policy:

**Section 1.2.14 : AMS Lifecycle Management Documentation**

Table 1.2.16-1 summarizes the purpose, requirement, responsible organization, and approving official for *required* AMS lifecycle management planning and control documents. [Appendix B](#) contains detailed policy for each document. Complete instructions and templates are in FAST.

The Exhibit 300 program baseline with attachments is the decision document for all investment decisions. When signed at the final investment decision, it becomes the control document for the phase of the investment program approved by the Joint Resources Council.

**Table 1.2.16-1 AMS Lifecycle Acquisition Management Policy Planning and Control Documents**

<b>Document</b>	<b>Purpose</b>	<b>Requirement</b>	<b>Responsible Organization(s)</b>	<b>Approving Official or Body</b>
<b>FAA Strategic Plan</b>	Defines long-range vision and goals for the FAA  Establishes top-level performance measures and multi-year performance targets for the FAA	Reviewed and updated annually	FAA Plans and Policy organization	Administrator
<b>FAA Enterprise Architecture</b>	Defines the FAA target architecture and the transition strategy to reach the target  Establishes the basis for service organization planning  Defines the strategic investment plan for the FAA	Reviewed annually and updated as needed	Chief Information Officer  Service organizations  ATO Operations Planning	Joint Resources Council
<b>Exhibit 300 Program Baseline*</b>	Preliminary baseline defines alternatives and summarizes pros and cons of each  Final baseline establishes the performance, cost, schedule, and benefits baselines for an investment program phase	Preliminary baseline required at the Initial Investment Decision  Final baseline approved and established at the Final investment decision	Investment analysis team  Implementing service organization	Acquisition Executive  Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business  Chief Financial Officer  Chief Information

				Officer  ATO Senior Vice President for Finance  Deputy Administrator concurs
<b>Exhibit 300 Program Baseline Attachment 1 Program Requirements*</b>	Defines the operational framework and performance requirements an investment program must achieve	Preliminary program requirements required for investment analysis readiness decision  Revised program requirements required for initial investment decision  Final program requirements required for final investment decision	Implementing service organization  Operating service organization	Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization(s)
<b>Exhibit 300 Program Baseline Attachment 2: Business Case Analysis Report*</b>	Provides the analytical and quantitative basis for investment decisions.	Initial BCAR required for initial investment decision  Final BCAR required for final investment decision.	Investment analysis team, headed by the service organization with the mission need	Vice President or Director of Service Organization or Line of Business
<b>Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning*</b>	Part 1 defines overall strategy and implementation planning for an investment program  Part 2 defines key activities and major milestones for the program segment or phase approved for funding and execution	Required for the final investment decision  Reviewed annually*	Implementing service organization  Operating service organization	Vice Presidents (ATO) or Directors (non-ATO) of the implementing and operating service organizations  Director, IOT&E co-approves the test section for programs designated for IOT&E  Updates are approved at the same level

\* Whenever updates to the Exhibit 300 program baseline or its attachments indicate a negative variance to a baseline measure, the service organization must take action as prescribed in AMS Section 1.2.6.

**New Content: Acquisition Management Policy:  
Section 1.2.14 : AMS Lifecycle Management Documentation**

Table 1.2.14-1 summarizes the purpose, requirement, responsible organization, and approving official for required AMS lifecycle management planning and control documents. Appendix B contains detailed policy for investment-program documents. Complete instructions and templates are in FAST. Click here to [view tailoring guidelines by acquisition category](#).

**Table 1.2.14-1 AMS Lifecycle Acquisition Management Policy Planning and Control Documents**

<b>Document</b>	<b>Purpose</b>	<b>Requirement</b>	<b>Responsible Organization(s)</b>	<b>Approving Official or Body</b>
<b>FAA Strategic Plan</b>	Defines long-range vision and goals for the FAA  Establishes top-level performance measures and multi-year performance targets for the FAA	Reviewed and updated annually	FAA Plans and Policy organization	Administrator
<b>FAA Enterprise Architecture</b>	Defines the FAA target architecture and the transition strategy to reach the target  Establishes the basis for service organization planning  Defines the strategic investment plan for the FAA	Reviewed annually and updated as needed	Chief Information Officer  Service organizations  ATO Operations Planning	Joint Resources Council
<b>Exhibit 300</b>	Budgetary document required by OMB for designated investment programs	Preliminary document at the initial investment decision	Investment analysis team  Implementing service organization	Acquisition Executive  Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business  Chief Financial

		Final document at the final investment decision		Officer  Chief Information Officer  ATO Senior Vice President for Finance  Deputy Administrator concurs
<b>Acquisition Program Baseline*</b>	Establishes the performance, cost, and schedule baselines for an investment program segment	Required for the final investment decision	Investment analysis team headed by the service organization with the mission need	Chair of the investment decision authority  Designated ACAT reviewers
<b>Program Requirements Document</b>	Defines the operational framework and performance requirements an investment program must achieve	Preliminary document at the investment analysis readiness decision  Revised document at the initial investment decision  Final document at the final investment decision	Implementing service organization  Operating service organization	ATO: Vice Presidents of the executing service unit during solution implementation and the operating service organization  Non-ATO: Second-level executive of the executing service organization during solution implementation
<b>Business Case Analysis Report</b>	Summarizes results of the business case analysis  Provides the analytical and quantitative basis for investment decisions	Initial BCAR at the initial investment decision  Final BCAR at the final investment decision.	Investment analysis team, headed by the service organization with the mission need	Vice President or Director of the implementing service organization  Designated ACAT reviewers
<b>Implementation Strategy and Planning Document</b>	Defines overall implementation strategy and planning for an investment program	Alternatives analyzed and summarized comparatively for factors in sections of ISPD specified <a href="#">here</a> for the	Implementing service organization  Operating	Chair of the investment decision authority  ATO: Senior Vice

		initial investment decision  Complete ISPD required for the final investment decision  Reviewed annually	service organization	President of operations and Vice President of the organization executing during solution implementation  Non-ATO: Second-level executive of the organization executing during solution implementation  Stakeholder organizations approve specific planning sections per the ISPD template  Updates are approved at the same level
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\* Whenever baseline reviews indicate a negative variance to a baseline measure, the service organization must take action as prescribed in AMS Section 1.2.3.

**Red Line Content: Acquisition Management Policy:  
Section 1.2.14 : AMS Lifecycle Management Documentation**

Table 1.2.14-1 summarizes the purpose, requirement, responsible organization, and approving official for required AMS lifecycle management planning and control documents. Appendix B contains detailed policy for ~~each investment-program document~~ **documents**. Complete instructions and templates are in FAST. ~~The Exhibit 300 program baseline with attachments is the decision document for all investment decisions. When signed at the final investment decision, it becomes the control document for the phase of~~ **Click the here investment to view program approved tailoring guidelines by the Joint Resources acquisition Council category.**

**Table 1.2.14-1 AMS Lifecycle Acquisition Management Policy Planning and Control Documents**

Document	Purpose	Requirement	Responsible Organization(s)	Approving Official or Body
<b>FAA Strategic Plan</b>	Defines long-range vision and goals for the FAA  Establishes top-level performance measures	Reviewed and updated annually	FAA Plans and Policy organization	Administrator

	and multi-year performance targets for the FAA			
<b>FAA Enterprise Architecture</b>	<p>Defines the FAA target architecture and the transition strategy to reach the target</p> <p>Establishes the basis for service organization planning</p> <p>Defines the strategic investment plan for the FAA</p>	Reviewed annually and updated as needed	<p>Chief Information Officer</p> <p>Service organizations</p> <p>ATO Operations Planning</p>	Joint Resources Council
<b>Exhibit 300 Program Baseline*</b>	<p><del>Preliminary baseline</del> <u><b>Budgetary alternatives document</b></u> and summarizes pros and cons of <u><b>required by OMB for designated investment each programs</b></u></p> <p><del>Final baseline establishes the performance, cost, schedule, and benefits baselines for an investment program phase.</del></p>	<p>Preliminary <del>baseline required</del> <u><b>document</b></u> at the <del>Initial Investment</del> <u><b>initial investment decision</b></u></p> <p>Final <del>baseline approved and established</del> <u><b>document</b></u> at the <del>Final</del> <u><b>final</b></u> investment decision</p>	<p>Investment analysis team</p> <p>Implementing service organization</p>	<p>Acquisition Executive–</p> <p>Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business–</p> <p>Chief Financial Officer–</p> <p>Chief Information Officer–</p> <p>ATO Senior Vice President for Finance–</p> <p>Deputy Administrator concurs</p>
<b>Exhibit 300 Acquisition Program Baseline*</b>	<p><del>Establishes the Attachment</del> <u><b>performance, cost, and schedule baselines for an investment program segment</b></u></p>	Required for the final investment decision	Investment analysis team headed by the service organization with the mission need	<p>Chair of the investment decision <u><b>authority</b></u></p> <p><u><b>Designated ACAT reviewers</b></u></p>
<b>Program Requirements* Document</b>	Defines the operational framework and performance requirements an	Preliminary <del>program requirements</del> <u><b>document</b></u> required for <del>at the</del> investment analysis	Implementing service organization–	<del>ATO: Vice Presidents (ATO) of or Directors</del> <u><b>the executing (non-ATO) service of the service</b></u>

	investment program must achieve	readiness decision–  Revised <u>program requirements document required for at the</u> initial investment decision–  Final <u>program requirements document required for at the</u> final investment decision	Operating service organization	<u>organization with unit during solution implementation and the mission operating needs service and organization</u>  <u>Non-ATO: Second-level executive of the operating executing service organization(s) during solution implementation</u>
<b>Exhibit 300 Program Baseline Attachment 2: Business Case Analysis Report*</b>	<u>Summarizes results of the business case analysis</u>  Provides the analytical and quantitative basis for investment decisions:	Initial BCAR <u>required for at the</u> initial investment decision  Final BCAR <u>required for at the</u> final investment decision.	Investment analysis team, headed by the service organization with the mission need	Vice President or Director of <u>Service Organization or the implementing service Line organization</u>  <u>Designated of ACAT Business reviewers</u>
<b>Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning* Document</b>	Part 1 defines <u>Defines overall implementation strategy and implementation planning for an investment program</u>  Part 2 defines key	Alternatives <u>activities analyzed and major summarized milestones comparatively for the factors program segment or phase approved in sections of ISPD specified here</u> for funding and <u>the initial execution investment decision</u>  <u>Required Complete ISPD required</u> for the final investment decision  Reviewed annually*	Implementing service organization  Operating service organization	<u>Vice Chair Presidents of (ATO) the or Directors investment decision (non authority ATO): Senior Vice President of the implementing operations and operating service Vice President organizations of the organization executing during solution implementation</u>  <u>Director, IOT&amp;E Non-ATO: eo Second approves level executive of the test-section for programs organization executing during solution implementation</u>

				<p><u>Stakeholder</u>  <u>for organizations</u>  <u>IOT&amp;E</u>  <u>approve specific</u>  <u>planning sections per the</u>  <u>ISPD template</u></p> <p>Updates are approved at the same level</p>
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\* Whenever ~~updates to the Exhibit 300 program~~ baseline ~~or its~~ reviews ~~attachments~~ indicate a negative variance to a baseline measure, the service organization must take action as prescribed in AMS Section 1.2.63.

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### Section 1.2.3 : Service Organizations

**Old Content:** Acquisition Management Policy:

**Section 1.2.3 : Service Organizations**

Acquisition management policy is structured to apply FAA investment resources to the cost-efficient delivery of safe, secure, and economic services to its customers. The delivery of these services is accomplished through service organizations, which are responsible and accountable for lifecycle management of assigned services.

A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

Service organizations bring together the stakeholders and specialists necessary to plan, obtain, manage, and sustain assigned services throughout their lifecycle. A service may be delivered directly to a customer, such as flight planning for general aviation, or to other service organizations that deliver end services to customers. Together, service organizations span the spectrum of FAA activity and responsibility.

**New Content:** Acquisition Management Policy:

**Section 1.2.3 : Service Management**

Acquisition management policy is structured to apply FAA investment resources to the cost-effective delivery of safe and secure services to its customers. The delivery of these services is accomplished through service organizations, which are responsible and accountable for lifecycle management of service delivery.

A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and

may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions.

Service organizations bring together the stakeholders and specialists necessary to plan, obtain, manage, and sustain assigned services throughout their lifecycle. A service may be delivered directly to a customer, such as flight planning for general aviation, or to other service organizations that deliver end services to customers. Together, service organizations span the spectrum of FAA activity and responsibility.

Service organizations manage service delivery by means of integrated portfolios of capital investments and operational assets. These portfolios includes investment assets under acquisition; fielded equipment, legacy systems, infrastructure, and facilities; and all other types of resources.

Service organizations perform service analysis annually to determine what capabilities must be in place now and in the future to meet agency goals and the service needs of customers and to move planning forward each year. Results are captured in enterprise architecture roadmaps, which are the transition plans for moving the current “as is” architecture to the future “to be” state. These roadmaps are the foundation for LOB business plans, which in turn are the basis for service organization operating plans.

The operating plan of each service organization specifies how it will manage its operational assets and investment initiatives over time to sustain and improve service delivery. Each operating plan is maintained on a continuing basis and updated yearly to reflect progress against plan, congressional or executive direction, emerging customer needs, and critical aviation incidents. Service organizations track performance, accomplishments, and resource expenditures relative to the operating plan, and take corrective action as necessary to achieve agreed upon goals and objectives. Service organizations work closely with each other to manage shared assets efficiently and effectively.

The Office of Management and Budget (OMB) directs all government agencies to use an earned value management system that complies with the industry EVMS Standard, EIA-748 for capital investment programs involving development, modernization, or enhancement. Service organizations comply with this directive, which includes an integrated baseline review of cost and schedule projections within six months of contract award or program baseline approval. The earned-value management focal point reports the earned-value status of major investment programs to the Joint Resources Council quarterly. Earned-value management data is also provided on all investment programs within the service organization investment portfolio at semi-annual service-level reviews.

Service organizations manage investment programs during solution implementation within controlled acquisition program baselines approved at the final investment decision. They take action to correct negative variance from any cost, schedule, or performance baseline measure. Negative variances that exceed 5 percent must be reported to the investment decision authority that approved the investment. Negative variances that exceed 10 percent must be reported to the Joint Resources Council quarterly and at semi-annual service-level reviews along

with an explanation of the cause(s), impact on service delivery, and a recovery strategy. The Administrator must notify the Congress of any program cost or schedule variance exceeding 50 percent and must either terminate the activity or justify why it should be continued and provide a recovery plan. When the investment decision authority determines an investment program cannot recover from a degenerating negative baseline variance, it may elect to rebaseline the effort by adding resources or changing its scope or schedule, or it may decide to terminate the activity.

**Red Line Content: Acquisition Management Policy:  
Section 1.2.3 : Service ~~Organizations~~-Management**

Acquisition management policy is structured to apply FAA investment resources to the cost-~~efficient~~effective delivery of safe, ~~secure~~, and ~~economic~~secure services to its customers. The delivery of these services is accomplished through service organizations, which are responsible and accountable for lifecycle management of ~~assigned~~service ~~services~~delivery.

A service organization is any organization that manages investment resources regardless of appropriation to deliver services. It may be a service unit, program office, or directorate, and may be engaged in air traffic services, safety, security, regulation, certification, operations, commercial space transportation, airport development, or administrative functions. ~~Service~~Service organizations bring together the stakeholders and specialists necessary to plan, obtain, manage, and sustain assigned services throughout their lifecycle. A service may be delivered directly to a customer, such as flight planning for general aviation, or to other service organizations that deliver end services to customers. Together, service organizations span the spectrum of FAA activity and responsibility.

*Service organizations manage service delivery by means of integrated portfolios of capital investments and operational assets. These portfolios includes investment assets under acquisition; fielded equipment, legacy systems, infrastructure, and facilities; and all other types of resources.*

*Service organizations perform service analysis annually to determine what capabilities must be in place now and in the future to meet agency goals and the service needs of customers and to move planning forward each year. Results are captured in enterprise architecture roadmaps, which are the transition plans for moving the current “as is” architecture to the future “to be” state. These roadmaps are the foundation for LOB business plans, which in turn are the basis for service organization operating plans.*

*The operating plan of each service organization specifies how it will manage its operational assets and investment initiatives over time to sustain and improve service delivery. Each operating plan is maintained on a continuing basis and updated yearly to reflect progress against plan, congressional or executive direction, emerging customer needs, and critical aviation incidents. Service organizations track performance, accomplishments, and resource expenditures relative to the operating plan, and take corrective action as necessary to achieve agreed upon goals and objectives. Service organizations work closely with each other to manage shared assets efficiently and effectively.*

*The Office of Management and Budget (OMB) directs all government agencies to use an earned value management system that complies with the industry EVMS Standard, EIA-748 for capital investment programs involving development, modernization, or enhancement. Service organizations comply with this directive, which includes an integrated baseline review of cost and schedule projections within six months of contract award or program baseline approval. The earned-value management focal point reports the earned-value status of major investment programs to the Joint Resources Council quarterly. Earned-value management data is also provided on all investment programs within the service organization investment portfolio at semi-annual service-level reviews.*

*Service organizations manage investment programs during solution implementation within controlled acquisition program baselines approved at the final investment decision. They take action to correct negative variance from any cost, schedule, or performance baseline measure. Negative variances that exceed 5 percent must be reported to the investment decision authority that approved the investment. Negative variances that exceed 10 percent must be reported to the Joint Resources Council quarterly and at semi-annual service-level reviews along with an explanation of the cause(s), impact on service delivery, and a recovery strategy. The Administrator must notify the Congress of any program cost or schedule variance exceeding 50 percent and must either terminate the activity or justify why it should be continued and provide a recovery plan. When the investment decision authority determines an investment program cannot recover from a degenerating negative baseline variance, it may elect to rebaseline the effort by adding resources or changing its scope or schedule, or it may decide to terminate the activity.*

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#### **Section 2.4.1.1 : What Must Be Done**

**Old Content:** Acquisition Management Policy:

#### **Section 2.4.1.1 : What Must Be Done**

- **Form investment analysis team.** The service organization establishes the investment analysis team. The team typically has operations analysts and requirements specialists from the organization with the need; acquisition, engineering, and market specialists from the implementing service organization; business case analysis staff specialists with skills in such disciplines as risk assessment, cost and schedule estimating, and benefits estimation; and technical specialists for whatever support is needed. Specialists for such critical disciplines as safety, security, integrated logistics, and human factors must be members of every investment analysis team. Regulatory specialists should be members when potential solutions impact aircraft or the airspace or involve hazardous materials, emergency operations, or the physical security of facilities, assets, and personnel. Information systems security is a critical and complex discipline that impacts almost every investment program.
- **Define business case.** The investment analysis team defines what information and data must be collected and begins construction of the preliminary Exhibit 300 program baseline. Factors that shape the business case include FAA strategic and performance goals, affordability, reduction in operational costs, and compatibility with the enterprise

architecture. The integrated logistics management team provides business case information for logistics requirements.

- **Analyze market capability.** The investment analysis team analyzes the marketplace to determine the capability, state of development, risk, and cost of potential solutions to mission need. It uses results to refine requirements and finalize alternatives. Operational or factory capability demonstration of potential solutions is strongly encouraged to verify suitability for meeting service need.
- **Analyze alternatives.** The investment analysis team thoroughly evaluates the alternatives approved at the investment analysis readiness decision. This involves systems engineering and multiple trade studies to determine which alternative best satisfies mission need and core agency requirements within acceptable cost and risk. The investment analysis team uses the FAA standard lifecycle work breakdown structure and other applicable standards when developing cost and schedule estimates. A risk assessment is performed for each alternative that focuses on the risks identified in the Exhibit 300 instruction in OMB Circular A-11. Specialists for critical disciplines such as safety, security, integrated logistics, and human factors evaluate each alternative for their specialty and report significant results in the business case analysis report.
- **Assess budget impact.** The investment analysis team forwards estimates of lifecycle cost for each alternative to the capital investment team. This team assesses the budget impact and relative contribution to agency goals of each alternative against other ongoing and proposed investment programs in the FAA's financial baseline. When an alternative solution cannot be funded within the financial baseline, the capital investment team may propose offsets from lower priority programs. The budget impact assessment shapes subsequent deliberations of the investment analysis team.
- **Develop preliminary Exhibit 300 program baseline.** The investment analysis team develops preliminary information for the following sections of the Exhibit 300 program baseline: alternatives analysis, enterprise architecture, performance goals, and the President's management agenda. The alternatives analysis section describes each alternative and summarizes their strengths and weaknesses in sufficient detail to enable an informed initial investment decision by the Joint Resources Council. The Exhibit 300 program baseline attachment 2: Business Case Analysis Report contains supporting information and the budget impact assessments. In this phase of the process, no alternative has yet been designated for implementation by the Joint Resources Council, therefore there is no variance tracking of preliminary Exhibit 300 program baseline targets.
- **Independently score preliminary Exhibit 300 program baseline.** The AIO Value Management Office independently scores the four completed sections of the preliminary Exhibit 300 program baseline. They work iteratively with the investment analysis team to satisfy established scoring criteria leading to an initial investment decision.
- **Plan for final investment analysis.** The investment analysis team defines the actions, resources, schedules, roles and responsibilities, documentation, and exit criteria for final investment analysis. The plan includes any risk-reduction effort that may be necessary such as modeling, analysis, simulation, or research.
- **Prepare for initial investment decision.** The investment analysis team prepares briefing materials and documentation, and coordinates findings and recommendations with key stakeholders. They also work with the ATO Systems Engineering organization to update

products and amendments to the enterprise architecture. The JRC Executive Secretariat ensures completion of all entrance criteria for the initial investment decision.

**New Content:** Acquisition Management Policy:

**Section 2.4.1.1 : What Must Be Done**

- **Form investment analysis team.** The service organization establishes the investment analysis team. The team typically has operations analysts and requirements specialists from the organization with the need; acquisition, engineering, and market specialists from the implementing service organization; business case analysis staff specialists with skills in such disciplines as risk assessment, cost and schedule estimating, and benefits estimation; and technical specialists for whatever support is needed. Specialists for such critical disciplines as safety, security, integrated logistics, and human factors must be members of every investment analysis team. Regulatory specialists should be members when potential solutions impact aircraft or the airspace or involve hazardous materials, emergency operations, or the physical security of facilities, assets, and personnel. Information systems security is a critical and complex discipline that impacts almost every investment program.
- **Define business case.** The investment analysis team defines what information and data must be collected and begins construction of the business case analysis report. Factors that shape the business case include FAA strategic and performance goals, affordability, reduction in operational costs, and compatibility with the enterprise architecture. The integrated logistics management team provides business case information for logistics requirements.
- **Determine market capability.** The investment analysis team analyzes the marketplace to determine the capability, state of development, risk, and cost of potential solutions to mission need. It uses results to refine requirements and finalize alternatives. Operational or factory capability demonstration of potential solutions is strongly encouraged to verify suitability for meeting service need.
- **Analyze alternatives.** The investment analysis team thoroughly evaluates the alternatives approved at the investment analysis readiness decision. This involves systems engineering and multiple trade studies to determine which alternative best satisfies mission need and core agency requirements within acceptable cost and risk. Effort is focused on developing definitive information for each alternative for each standard FAA investment decision criterion (benefits, lifecycle cost, benefit/cost ratio, alignment with enterprise architecture, contribution to FAA strategic and performance goals, and risk). The investment analysis team uses the standard lifecycle work breakdown structure and other applicable standards when developing cost and schedule estimates. Specialists for critical disciplines such as safety, security, integrated logistics, and human factors evaluate each alternative for their specialty. Results are recorded in the business case analysis report.
- **Assess budget impact.** The investment analysis team forwards estimates of lifecycle cost for each alternative to the capital investment team. This team assesses the budget impact and relative contribution to agency goals of each alternative against other ongoing and proposed investment programs in the FAA's financial baseline. When an alternative solution cannot be funded within the financial baseline, the capital investment team may

propose offsets from lower priority programs. The budget impact assessment shapes subsequent deliberations of the investment analysis team.

- **Update Program Requirements.** The analysis of alternatives may result in the need to modify preliminary requirements to mitigate risk or achieve affordability. Modifications are carefully evaluated to ensure no detriment to safety or essential performance and or service need. Changes are recorded in the updated program requirement document.
- **Develop preliminary Exhibit 300 (designated programs only).** The investment analysis team develops preliminary information for the following sections of the Exhibit 300: alternatives analysis, enterprise architecture, performance goals, and the President's management agenda. The alternatives analysis section describes each alternative and summarizes strengths and weaknesses. The AIO Value Management Office independently scores the four completed sections of the preliminary Exhibit 300. They work iteratively with the investment analysis team to satisfy OMB scoring criteria..
- **Plan for final investment analysis.** The investment analysis team defines the actions, resources, schedules, roles and responsibilities, documentation, and exit criteria for final investment analysis. The plan includes any risk-reduction effort that may be necessary such as modeling, analysis, simulation, or research.
- **Prepare for initial investment decision.** The investment analysis team prepares briefing materials and documentation, and coordinates findings and recommendations with key stakeholders. They also work with the ATO Systems Engineering organization to update products and amendments to the enterprise architecture. The IDA Secretariat ensures completion of all entrance criteria for the initial investment decision.

**Red Line Content: Acquisition Management Policy:  
Section 2.4.1.1 : What Must Be Done**

**Form investment analysis team.** The service organization establishes the investment analysis team. The team typically has operations analysts and requirements specialists from the organization with the need; acquisition, engineering, and market specialists from the implementing service organization; business case analysis staff specialists with skills in such disciplines as risk assessment, cost and schedule estimating, and benefits estimation; and technical specialists for whatever support is needed. Specialists for such critical disciplines as safety, security, integrated logistics, and human factors must be members of every investment analysis team. Regulatory specialists should be members when potential solutions impact aircraft or the airspace or involve hazardous materials, emergency operations, or the physical security of facilities, assets, and personnel. Information systems security is a critical and complex discipline that impacts almost every investment program.

- **Define business case.** The investment analysis team defines what information and data must be collected and begins construction of the ~~preliminary Exhibit 300~~ **business case analysis report**. Factors that shape the business case include FAA strategic and performance goals, affordability, reduction in operational costs, and compatibility with the enterprise architecture. The integrated logistics management team provides business case information for logistics requirements.
- **Analyze/Determine market capability.** The investment analysis team analyzes the marketplace to determine the capability, state of development, risk, and cost of potential

solutions to mission need. It uses results to refine requirements and finalize alternatives. Operational or factory capability demonstration of potential solutions is strongly encouraged to verify suitability for meeting service need.

- Analyze alternatives.** The investment analysis team thoroughly evaluates the alternatives approved at the investment analysis readiness decision. This involves systems engineering and multiple trade studies to determine which alternative best satisfies mission need and core agency requirements within acceptable cost and risk. The investment analysis team uses the Effort is focused on developing FAA definitive information for each alternative for each standard FAA investment decision criterion (benefits, lifecycle work cost, breakdown benefit/cost structure ratio, and other applicable alignment with enterprise standards architecture, when developing contribution to cost FAA strategic and schedule performance estimates goals, A and risk). assessment is performed for each alternative that focuses on the risks identified in the Exhibit 300 instruction in OMB Circular The investment analysis team uses the standard lifecycle work breakdown structure and other applicable standards when developing cost and schedule A-H estimates. Specialists for critical disciplines such as safety, security, integrated logistics, and human factors evaluate each alternative for their specialty and report significant results Results are recorded in the business case analysis report.
- Assess budget impact.** The investment analysis team forwards estimates of lifecycle cost for each alternative to the capital investment team. This team assesses the budget impact and relative contribution to agency goals of each alternative against other ongoing and proposed investment programs in the FAA's financial baseline. When an alternative solution cannot be funded within the financial baseline, the capital investment team may propose offsets from lower priority programs. The budget impact assessment shapes subsequent deliberations of the investment analysis team.
- Develop preliminary Exhibit Update 300 program Program baseline Requirements.** The investment analysis team develops preliminary information for the following sections of the Exhibit 300 program alternatives may result in baseline: the alternatives need analysis, to enterprise modify architecture preliminary performance requirements goals, to and the mitigate risk President's or management agenda achieve affordability. The alternatives analysis section Modifications describes each alternative and summarizes their strengths and weaknesses in sufficient detail to enable are carefully evaluated to ensure no detriment to safety or essential performance and or service informed need. initial investment decision by Changes are recorded in the Joint updated program Resources Council requirement document.
- Develop The preliminary Exhibit 300 program baseline (designated attachment programs 2: only).** Business Case Analysis Report contains supporting The investment analysis team develops preliminary information and for the budget impact assessments. In this following phases sections of the process, no alternative has yet been designated for implementation Exhibit by 300: the alternatives Joint analysis, Resources Council enterprise architecture, therefore performance there goals, is no and the variance President's tracking management of agenda. preliminary Exhibit 300 program baseline The alternatives analysis section describes targets. Independently each score preliminary Exhibit 300 program baseline alternative and summarizes strengths and weaknesses. The AIO Value Management Office independently scores the four

completed sections of the preliminary Exhibit 300 ~~program baseline~~. They work iteratively with the investment analysis team to satisfy ~~established~~ **OMB** scoring criteria ~~leading to an initial investment decision~~.

- **Plan for final investment analysis.** The investment analysis team defines the actions, resources, schedules, roles and responsibilities, documentation, and exit criteria for final investment analysis. The plan includes any risk-reduction effort that may be necessary such as modeling, analysis, simulation, or research.

**Prepare for initial investment decision.** The investment analysis team prepares briefing materials and documentation, and coordinates findings and recommendations with key stakeholders. They also work with the ATO Systems Engineering organization to update products and amendments to the enterprise architecture. The ~~JRC Executive~~ **IDA** Secretariat ensures completion of all entrance criteria for the initial investment decision.

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### **Section 2.4.1.2 : Outputs and Products**

**Old Content:** Acquisition Management Policy:

#### **Section 2.4.1.2 : Outputs and Products**

The principal output of initial investment analysis is information and data that enable the Joint Resources Council to select the alternative that best meets required performance, is affordable over the projected lifecycle, and offers greatest value and benefit to the FAA, its customers, and its owners. A second output is the plan for final investment analysis. The following are required products of initial investment analysis that enable and record these primary outputs:

- Preliminary Exhibit 300 program baseline, including attachment 1: Program Requirements, and attachment 2: Business Case Analysis Report;
- Preliminary Exhibit 300 program baseline scoring results;
- Updated enterprise architecture products and amendments;
- Plan for final investment analysis.

**New Content:** Acquisition Management Policy:

#### **Section 2.4.1.2 : Outputs and Products**

The principal output of initial investment analysis is information and data that enable the investment decision authority to select the alternative that best meets required performance, is affordable over the projected lifecycle, and offers greatest value and benefit to the FAA and its customers. A second output is the plan for final investment analysis. The following are required products of initial investment analysis that enable and record these primary outputs:

- Updated program requirements document;
- Business case analysis report;
- Preliminary Exhibit 300 and scoring results for designated programs;
- Initial implementation strategy and planning document;
- Updated enterprise architecture products and amendments;

- Plan for final investment analysis

**Red Line Content:** Acquisition Management Policy:

**Section 2.4.1.2 : Outputs and Products**

The principal output of initial investment analysis is information and data that enable the ~~Joint Resources Council~~ investment decision authority to select the alternative that best meets required performance, is affordable over the projected lifecycle, and offers greatest value and benefit to the FAA, ~~its customers,~~ and its ~~owners~~ customers. A second output is the plan for final investment analysis. The following are required products of initial investment analysis that enable and record these primary outputs:

- ~~Preliminary Exhibit 300~~ Updated program ~~baseline,~~ requirements document;
- ~~Business including attachment~~ case analysis ~~+~~ report;
- ~~Preliminary Program~~ Exhibit Requirements, ~~300~~ and attachment 2: scoring Business Case Analysis Report results for designated programs;
- ~~Preliminary Exhibit~~ Initial 300 program baseline scoring results implementation strategy and planning document;
- Updated enterprise architecture products and amendments;
- Plan for final investment analysis-

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**Section 2.4.1.3 : Who Does It?**

**Old Content:** Acquisition Management Policy:

**Section 2.4.1.3 : Who Does It?**

Investment analysis teams consisting of authorized representatives from all key stakeholder organizations perform initial investment analysis.

The sponsoring service organization participates on the investment analysis team. Its primary responsibilities are to refine requirements, update enterprise architecture products and amendments, and update the Exhibit 300 program baseline attachment 1: Program Requirements.

The ATO Finance business case analysis organization guides and advises service organizations in the conduct of initial investment analysis, reviews and validates the business cases developed by service organizations, and confirms the business case analysis report is complete and consistent with FAA standards. This organization also provides standards, guidance, training, and consulting to service organizations to ensure consistency in the conduct of investment analyses.

The implementing service organization leads the investment analysis team using standard FAA investment analysis tools and guidance. It also assesses technology, generates cost and schedule estimates for alternative solutions, and determines what performance and supportability can be achieved within these estimates. The conduct of investment analyses in support of baseline change requests is negotiated between the service organization and the ATO Finance business case analysis organization.

The capital investment team assesses the budget impact of each alternative and makes offset recommendations.

The AIO Value Management Office independently reviews and scores the preliminary Exhibit 300 program baseline.

Stakeholders participate as authorized team members throughout investment analysis, providing perspective and recommendations on behalf of their organizations.

**New Content: Acquisition Management Policy:  
Section 2.4.1.3 : Who Does It?**

Investment analysis teams consisting of authorized representatives from all key stakeholder organizations perform initial investment analysis.

The ATO Finance business case analysis organization guides and advises service organizations in the conduct of initial investment analysis, reviews and validates the business cases developed by service organizations, and confirms the business case analysis report is complete and consistent with FAA standards. This organization also provides standards, guidance, training, and consulting to service organizations to ensure consistency in the conduct of investment analyses.

The implementing service organization leads the investment analysis team using standard FAA investment analysis tools and guidance. It also assesses technology, generates cost and schedule estimates for alternative solutions, and determines what performance and supportability can be achieved within these estimates. The conduct of investment analyses in support of baseline change requests is negotiated between the service organization and the ATO Finance business case analysis organization.

The operating service organization participates on the investment analysis team. Its primary responsibilities are to ensure sound lifecycle management planning for operational support during in-service management and to assist the refinement of requirements in the program requirements document.

The capital investment team assesses the budget impact of each alternative and makes offset recommendations.

The AIO Value Management Office independently reviews and scores the preliminary Exhibit 300 for designated programs.

Stakeholders participate as authorized team members throughout investment analysis, providing perspective and recommendations on behalf of their organizations.

**Red Line Content: Acquisition Management Policy:**  
**Section 2.4.1.3 : Who Does It?**

Investment analysis teams consisting of authorized representatives from all key stakeholder organizations perform initial ~~investment analysis. The sponsoring service organization participates on the investment analysis team. Its primary responsibilities are to refine requirements, update enterprise architecture products and amendments, and update the Exhibit 300 program baseline attachment 1: Program Requirements.~~

The ATO Finance business case analysis organization guides and advises service organizations in the conduct of initial investment analysis, reviews and validates the business cases developed by service organizations, and confirms the business case analysis report is complete and consistent with FAA standards. This organization also provides standards, guidance, training, and consulting to service organizations to ensure consistency in the conduct of investment analyses.

The implementing service organization leads the investment analysis team using standard FAA investment analysis tools and guidance. It also assesses technology, generates cost and schedule estimates for alternative solutions, and determines what performance and supportability can be achieved within these estimates. The conduct of investment analyses in support of baseline change requests is negotiated between the service organization and the ATO Finance business case analysis organization.

*The operating service organization participates on the investment analysis team. Its primary responsibilities are to ensure sound lifecycle management planning for operational support during in-service management and to assist the refinement of requirements in the program requirements document.*

*The* capital investment team assesses the budget impact of each alternative and makes offset recommendations.

The AIO Value Management Office independently reviews and scores the preliminary Exhibit 300 ~~program~~ *for baseline designated programs.*

Stakeholders participate as authorized team members throughout investment analysis, providing perspective and recommendations on behalf of their organizations.

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**Section 2.4.1.4 : Who Approves?**

**Old Content: Acquisition Management Policy:**  
**Section 2.4.1.4 : Who Approves?**

The Vice President or Director of the service organization or line of business, approves the initial business case analysis report. The Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization approve the plan for final investment analysis. The Vice Presidents (ATO) or Directors (non-ATO) of the sponsoring and operating service organizations approves updated requirements in Exhibit 300 program baseline attachment 1: Program Requirements. The Chief Architect for the NAS enterprise architecture approves NAS architecture products and amendments. The Chief Information Officer approves mission support, administrative, and any other architecture products and amendments delegated to the ITEB by the JRC. The Vice President (ATO) or Director (non-ATO) of the operating service organization may implement a nonmaterial solution that emerges during investment analysis when it can be fully funded within existing approved resources and upon concurrence by the appropriate enterprise architecture control board. The Acquisition Executive, Chief Financial Officer, Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business, and the ATO Senior Vice President for Finance approve the preliminary Exhibit 300 program baseline. The Acquisition Executive approves tailoring of the investment analysis process.

**New Content:** Acquisition Management Policy:  
**Section 2.4.1.4 : Who Approves?**

The Vice President or Director of the implementing service organization approves the initial business case analysis report. The Vice Presidents (ATO) or Directors (non-ATO) of the service organization executing during solution implementation and the operating service organization approve the plan for final investment analysis. Within the ATO, the Vice Presidents of the service organization executing during solution implementation and the operating service organization approve updated requirements in the program requirements document. In the other lines of business, the second-level executive of the executing service organization approves the updated program requirements document. The Chief Architect for the NAS enterprise architecture approves NAS architecture products and amendments. The Chief Information Officer approves mission support, administrative, and any other architecture products and amendments delegated to the ITEB by the JRC. The Vice President (ATO) or Director (non-ATO) of the operating service organization may implement a nonmaterial solution that emerges during investment analysis when it can be fully funded within existing approved resources and upon concurrence by the appropriate enterprise architecture control board. The Acquisition Executive, Chief Financial Officer, Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business, and the ATO Senior Vice President for Finance approve the preliminary Exhibit 300 for designated programs. The Acquisition Executive approves tailoring of the investment analysis process.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.4.1.4 : Who Approves?**

The Vice President or Director of the **implementing** service organization ~~or line of business,~~ approves the initial business case analysis report.- The Vice Presidents (ATO) or Directors (non-

ATO) of the service organization ~~with the mission need~~ *executing during solution implementation* and the operating service organization approve the plan for final investment analysis. ~~The Vice Presidents~~ *Within the* (ATO) or Directors, *the Vice* (non-ATO) *Presidents* of the ~~sponsoring~~ *service organization executing during solution implementation* and *the* operating service organizations ~~approves~~ *organization approve* updated requirements in ~~Exhibit 300~~ *the* program ~~baseline~~ *requirements document. In the other lines of business, the second-level executive of the executing* ~~attachment~~ *service organization approves the updated* ~~+~~ *program* ~~Program Requirements~~ *requirements document*. The Chief Architect for the NAS enterprise architecture approves NAS architecture products and amendments. The Chief Information Officer approves mission support, administrative, and any other architecture products and amendments delegated to the ITEB by the JRC. The Vice President (ATO) or Director (non-ATO) of the operating service organization may implement a nonmaterial solution that emerges during investment analysis when it can be fully funded within existing approved resources and upon concurrence by the appropriate enterprise architecture control board. The Acquisition Executive, Chief Financial Officer, Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business, and the ATO Senior Vice President for Finance, approve the preliminary Exhibit 300 ~~program~~ *for designated* ~~baseline~~ *programs*. The Acquisition Executive approves tailoring of the investment analysis process.

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### **Section 2.4.2 : Initial Investment Decision**

**Old Content:** Acquisition Management Policy:

#### **Section 2.4.2 : Initial Investment Decision**

The Joint Resources Council selects the best alternative for implementation at the initial investment decision, based on information in the preliminary Exhibit 300 program baseline and business case analysis report, or rejects the alternatives and specifies what action is needed. In making the decision, the Joint Resources Council uses the following standard selection criteria when determining which solution best contributes to FAA strategic and performance goals: benefits, lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals, and risk. When technology is not mature or when requirements are not well-defined, the JRC approves such action as research, analysis, or development rather than final investment analysis. JRC members agree on how each organization will support final investment analysis. Commitments are recorded in the plan for final investment analysis. The Acquisition Executive is the chairperson of the Joint Resources Council at the initial investment decision.

The Joint Resources Council selects the best alternative for implementation at the initial investment decision, based on information in the preliminary Exhibit 300 program baseline and business case analysis report, or rejects the alternatives and specifies what action is needed. In making the decision, the Joint Resources Council uses the following standard selection criteria when determining which solution best contributes to FAA strategic and performance goals: benefits, lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals, and risk. When technology is not mature or when requirements are not well-

defined, the JRC approves such action as research, analysis, or development rather than final investment analysis. JRC members agree on how each organization will support final investment analysis. Commitments are recorded in the plan for final investment analysis. The Acquisition Executive is the chairperson of the Joint Resources Council at the initial investment decision.

**New Content:** Acquisition Management Policy:

#### **Section 2.4.2 : Initial Investment Decision**

The investment decision authority selects the best alternative for implementation at the initial investment decision, based on information in the business case analysis report and preliminary Exhibit 300 (designated programs only), or rejects the alternatives and specifies what action is needed. In making the decision, the investment decision authority uses the following standard selection criteria when determining which solution best contributes to FAA strategic and performance goals: benefits, lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals, and risk. When technology is not mature or when requirements are not well-defined, the investment decision authority approves such action as research, analysis, or development rather than final investment analysis. Investment decision authority members agree on how each organization will support final investment analysis. Commitments are recorded in the plan for final investment analysis.

**Red Line Content:** Acquisition Management Policy:

#### **Section 2.4.2 : Initial Investment Decision**

The ~~Joint Resources Council~~investment decision authority selects the best alternative for implementation at the initial investment decision, based on information in the ~~preliminary Exhibit 300 (designated programs only)~~business case analysis report and ~~business case analysis preliminary Exhibit report 300 (designated programs only)~~business case analysis preliminary Exhibit report 300 (designated programs only), or rejects the alternatives and specifies what action is needed. In making the decision, the ~~Joint Resources Council~~investment decision authority uses the following standard selection criteria when determining which solution best contributes to FAA strategic and performance goals: benefits, lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals, and risk. When technology is not mature or when requirements are not well-defined, the investment decision authority approves such action as research, analysis, or development rather than final investment analysis. ~~JRC~~Investment decision authority members agree on how each organization will support final investment analysis. Commitments are recorded in the plan for final investment analysis. ~~The Acquisition Executive is the chairperson of the Joint Resources Council at the initial investment decision.~~

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#### **Section 2.4.2.1 : Lifecycle Management Decision-Making**

**Old Content:** Acquisition Management Policy:

#### **Section 2.4.2.1 : Lifecycle Management Decision-Making**

Table 1.2.8-1 identifies decision-making bodies and chairpersons for the key decision points in the AMS lifecycle management process (see Section 2). The Joint Resources Council makes all

investment decisions with concurrence from the Deputy Administrator. The Air Traffic Services Committee reviews all JRC investment decisions for procurement of air traffic control equipment of \$100,000,000 or more in facilities and equipment costs.

**Table 1.2.8-1 Lifecycle Management Decision-Making**

Decision	Decision Body	Decision Chair	
Concept and requirements definition readiness decision <sup>1</sup>	None	Vice President (ATO) or Director (non-ATO)	
Investment analysis readiness decision	ATO Executive Council or Subordinate Investment Review Board	Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) for the line of business	
Product demonstration <sup>2</sup>	ATO service unit or LOB service management team (non-ATO)	ATO service unit or LOB service management team (non-ATO)	Vice President (ATO) or Director (non-ATO) unless otherwise designated by the JRC
In-service <sup>3</sup>	Note 3		
Initial and final investment decisions <i>(Including new programs and extension of current capability)</i>	JRC	Acquisition Executive	
Program baseline change	JRC	Acquisition Executive	
F&E, RE&D, and O&M budget approvals	JRC	Acquisition Executive	
Enterprise Architecture changes	JRC	Acquisition Executive	

<sup>1</sup> Decision does not apply to small administrative or mission support needs managed by the ITEB unless designated.

<sup>2</sup> Decision required for developmental products. See AMS section 2.5.1.

<sup>3</sup> The JRC designates the production and in-service decision authorities at the final investment decision. If the JRC retains either of these decisions, the chair is the Acquisition Executive.

The JRC Executive Secretariat supports the Acquisition Executive, Joint Resources Council, and subordinate investment review boards in executing corporate-level decision-making responsibilities. It ensures service organizations have complied with AMS policy requirements before seeking JRC or subordinate review board decisions. The JRC Executive Secretariat also manages the JRC decision-making, service-level review, and JRC-related tailoring processes on behalf of the Acquisition Executive.

Service organizations make and are accountable for all service-level management decisions except those explicitly assigned otherwise by this policy or the Joint Resources Council.

**New Content: Acquisition Management Policy:  
Section 2.4.2.1 : Investment Decision-Making and Governance**

The investment decision authority (IDA) and review organization(s) for every FAA investment program are determined by acquisition category to ensure the appropriate level of oversight and tailoring is applied to each. Table 1.2.5-1 specifies the designation criteria, decision authority, and review organization(s) by acquisition category. Tailoring policy is located [here](#). Acquisition category is initially designated when an enterprise architecture roadmap specifies action must be taken now to address a high-priority agency mission or service need and before the start of concept and requirements definition. The sponsoring service organization recommends a designation to the Acquisition Executive Board, which makes the final decision and notifies the Joint Resources Council. Acquisition category designation is confirmed at the readiness for investment analysis decision when more definitive cost, schedule, performance, and risk information is available. It is finalized at the initial investment decision. A standard IDA readiness process applies to all ACAT levels for AMS decision points.

**Table 1.2.5-1 Investment Decision Authority and Review Organizations by Acquisition Category**

Acquisition Category	Designation Criteria (Highest category applies once a criterion is met)	Investment Decision Authority	Review Organizations
1	F&E: > \$800M Single-year F&E: > \$200M O&M: > \$500M Aggregate rating of the following is <b>high</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety	JRC	Subordinate Investment Review Board <sup>1</sup> ATO-P <sup>2</sup> ATO-F
2	F&E: \$300M - \$800m Single-year F&E: \$100M - \$200M O&M: \$250M - \$500M Aggregate rating of the following is <b>medium to high</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety  For Non-NAS IT: a. Enterprise-wide impact or b. Critical to mission support functions	JRC	Subordinate Investment Review Board <sup>1</sup> ATO-P <sup>2</sup> ATO-F
3	F&E: \$100M - \$300m Single-year F&E: \$50M -	<b>ATO Program<sup>4</sup>:</b>	ATO-P <sup>2</sup>

	\$100M O&M: \$100M -\$250M Aggregate rating of the following is <b>medium</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety  For Non-NAS IT: a. Significant impact on one or more LOBs or b. Impact on mission support functions	ATO EC, FAE  <b>Non-ATO Program<sup>4</sup>:</b> Assoc. Admin., CFO, FAE  <b>Non-NAS IT Program:</b> ITEB	ATO-F  AIO <sup>2</sup> ATO-F <sup>5</sup>  CFO
<b>4</b>	F&E: \$20M - \$100M Single-year F&E: \$20M - \$50M O&M: \$20M -\$100M Aggregate rating of the following is <b>medium to low</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety	<b>ATO Program<sup>4</sup>:</b> ATO EC, FAE  <b>Non-ATO Program<sup>4</sup>:</b> Assoc. Admin., CFO, FAE  <b>Non-NAS IT Program:</b> ITEB	ATO-P <sup>2</sup> ATO-F <sup>5</sup>  AIO <sup>2</sup> ATO-F <sup>5</sup>  CFO
<b>5</b>	F&E: < \$20M Single-year F&E: < \$20M O&M: < \$20M Aggregate rating of the following is <b>low</b> : a. Political sensitivity b. Risk c. Complexity d. Likelihood of changes to NAS safety	<b>ATO Program<sup>4</sup>:</b> LOB VP, SVP-F, FAE  <b>Non-ATO Program<sup>4</sup>:</b> Assoc. Admin., CFO, FAE  <b>Non-NAS IT Program:</b> ITEB	ATO-P <sup>2</sup> ATO-F  AIO <sup>2</sup> ATO-F <sup>5</sup>  CFO

1 For example, ATO EC for NAS programs and ITEB for IT programs

2 Processes any changes to the enterprise architecture

3 Range of alternatives approved by investment decision authority

4 Excludes Non-NAS IT programs

5 Conducts financial analysis for CFO

**Red Line Content:** Acquisition Management Policy:

**Section 2.4.2.1 : Lifecycle Investment Management Decision-Making and Governance**

Table 1.2.8-1 The identifies investment decision-making authority bodies (IDA) and chairpersons review organization(s) for the key decision every FAA investment points program are determined by in acquisition category to ensure the AMS lifecycle management process appropriate level of oversight (see and Section tailoring 2) is applied to each. The Table Joint 1.2.5-1 Resources Council makes specifies the designation all criteria,

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investment decision decisions authority, with concurrence and review from organization(s) the Deputy Administrator by acquisition category. The Tailoring Air Traffic policy is Services located here. Committee reviews all JRC investment decisions for procurement of air traffic control equipment of Acquisition category is initially designated when an enterprise architecture roadmap specifies action must be \$100,000,000 taken or more in facilities now to address a and high-priority equipment agency costs. Table mission 1.2.8 for Lifecycle Management service need Decision-Making Decision and Body Decision before Chair Concept the start of concept and requirements definition. readiness decision The sponsoring + None - Vice service President organization (ATO) recommends or Director a designation (non-ATO) Investment to analysis the readiness Acquisition Executive Board, which makes the final decision-ATO Executive Council or Subordinate Investment and notifies the Joint Resources Review Council. Board Chief Acquisition Operating Officer category designation (ATO) is or confirmed at the Associate or Assistant Administrator readiness for investment analysis (non-ATO) decision for the line when more definitive of cost, business Products schedule, demonstration performance, 2-ATO and service unit or risk information is LOB available. It service management team is finalized at (non-ATO) Vice the President initial (ATO) investment or decision. Director A (non-ATO) Production standard 2-IDA and readiness 3-ATO process service unit or LOB service management team applies to all ACAT levels for AMS (non-ATO) decision points.

Vice President Table (ATO) 1.2.5-1 or Director Investment Decision (non-ATO) Authority unless otherwise designated and Review Organizations by the Acquisition JRC Category

In-service 3 Note <u>Acquisition</u> 3 <u>Category</u>	Initial and final investment <u>Designation</u> decisions <u>Criteria</u> (Including new programs and extension of current capability <u>Highest category applies once a criterion is met</u> )	JRC <u>Investment Decision</u> <u>Authority</u>	Acquisition <u>Review</u> Executive <u>Organizations</u>
Program baseline change JRC Acquisition Executive 1	F&E: <u>&gt; \$800M</u> <u>Single-year</u> RE <u>F&amp;D, E: and &gt;</u> <u>\$200M</u> O&M: <u>&gt; \$500M</u> <u>Aggregate rating of the following is high:</u> <u>a. Political sensitivity</u> <u>b. budget Risk</u> <u>c. Complexity</u> <u>d. Likelihood of changes</u> <u>approvals to NAS safety</u>	JRC	Acquisition <u>Subordinate</u> Executive <u>Investment</u> <u>Review Board 1</u> <u>ATO-P2</u> <u>ATO-F td &gt;</u>
2	Enterprise <u>F&amp;E: \$300M - \$800m</u> <u>Single-year F&amp;E: \$100M - \$200M</u> <u>O&amp;M: \$250M - \$500M</u>	JRC	Acquisition <u>Subordinate</u> Executive <u>Investment</u> <u>Review Board 1</u>

	<p><u>Aggregate rating of the following is medium to high:</u></p> <p><u>a. Political sensitivity</u></p> <p><u>b. Risk</u></p> <p><u>c. Complexity</u></p> <p><u>d. Likelihood</u> Architecture of changes <u>to NAS safety</u></p> <p><u>For Non-NAS IT:</u></p> <p><u>a. Enterprise-wide impact or</u></p> <p><u>b. Critical to mission support functions</u></p>		<p><u>ATO-P2</u></p> <p><u>ATO-F</u></p>
<u>3</u>	<p><del>1 Decision does F&amp;E: not \$100M apply to \$300M</del></p> <p><u>Single-year small F&amp;E: administrative \$50M or mission \$100M</u></p> <p><u>O&amp;M: support \$100M needs \$250M</u></p> <p><u>Aggregate managed by rating of the ITEB following unless is designated medium:</u></p> <p><u>a. 2 Decision required Political for sensitivity</u></p> <p><u>b. developmental Risk</u></p> <p><u>c. products Complexity</u></p> <p><u>d. See AMS section Likelihood of changes 2.5.1. 3 to The NAS JRC safety</u></p> <p><u>For designates Non-NAS the IT:</u></p> <p><u>a. production and Significant impact in service on decision authorities at the one or more LOBs final or</u></p> <p><u>b. investment Impact decision on If the mission support JRC functions</u></p>	<p>ATO retains <u>Program 4:</u></p> <p><u>ATO either EC, or FAE</u></p> <p>-</p> <p>-</p> <p><u>Non-ATO</u></p> <p><u>these Program 4:</u></p> <p><u>decisions, Assoc.</u></p> <p><u>the Admin., chair CFO,</u></p> <p><u>is FAE</u></p> <p>-</p> <p><u>Non the Acquisition NAS IT Executive Program:</u></p> <p><u>ITEB</u></p> <p>-</p>	<p><u>ATO-P2</u></p> <p><u>ATO-F</u></p> <p>-</p> <p>-</p> <p><u>AIO2</u></p> <p><u>ATO-F5</u></p> <p>-</p> <p>-</p> <p><u>CFO</u></p>
<u>The 4</u>	<p>F&amp;E: <u>JRC \$20M Executive \$100M</u></p> <p><u>Single-year F&amp;E: \$20M - \$50M</u></p> <p><u>O&amp;M: \$20M - \$100M</u></p> <p><u>Aggregate Secretariat supports rating of the Acquisition following</u></p>	<p>ATO Program 4:</p> <p>ATO EC, FAE</p> <p>Non-making <u>ATO</u></p> <p>responsibilities <u>Program 4:</u></p> <p><u>Assoc. It Admin.,</u></p> <p><u>ensures CFO, service FAE</u></p> <p>-</p>	<p>ATO-P2</p> <p>ATO-F5</p> <p>AIO2</p> <p>ATO-F5</p> <p>CFO</p>

	Executive, <u>is</u> Joint Resources <u>medium to low</u> : <u>a. and Political subordinate sensitivity</u> <u>b. investment Risk</u> <u>c. review Complexity</u> <u>d. boards in executing Likelihood of changes corporate-level to decision NAS safety</u>	<u>Non-NAS organizations IT have Program: ITEB</u>	
5	F&E: <u>complied with \$20M Single-year AMS F&amp;E: policy requirements \$20M O&amp;M: before seeking \$20M Aggregate JRC or subordinate review board rating of the following is decisions low:</u> <u>a. The Political JRC sensitivity</u> <u>b. Executive Risk</u> <u>c. Secretariat Complexity</u> <u>d. also manages the JRC Likelihood of changes to decision NAS safety</u>	ATO Program 4: VP, SVP-making <u>F</u> , service <u>FAE</u> <u>Non-level ATO review Program 4: Assoc. Admin., and CFO, JRC FAE</u> <u>Non-related tailoring NAS processes IT on Program: ITEB</u>	ATO-P2 ATO-F  AIO2 ATO-F5  CFO

1 behalf For of example, the Acquisition ATO EC Executive Service for organizations make NAS programs and are accountable ITEB for all IT service level programs  
2 Processes management any decisions changes to the except enterprise those architecture  
3 Range explicitly assigned otherwise of alternatives approved by this investment decision policy authority  
4 or Excludes the Non-NAS Joint IT Resources programs  
5 Council Conducts financial analysis for CFO

### Section 2.4.2.2 : Joint Resource Council Actions

Old Content: Acquisition Management Policy:

### Section 2.4.2.2 : Joint Resource Council Actions

The Joint Resources Council:

- Selects the alternative to be implemented or rejects the alternatives and specifies what action is needed;
- Approves a preliminary Exhibit 300 program baseline;
- Approves entry into final investment analysis;

- Approves funding for any analytical or developmental work related to the selected alternative;
- Designates the service organization to lead final investment analysis and be responsible for solution implementation.

**New Content:** Acquisition Management Policy:

**Section 2.4.2.2 : Investment Decision Authority Actions**

The investment decision authority (see Table 1.2.5-1):

- Selects the alternative to be implemented or rejects the alternatives and specifies what action is needed;
- Approves the preliminary Exhibit 300 (designated programs only);
- Approves entry into final investment analysis;
- Approves funding for any analytical or developmental work related to the selected alternative;
- Designates the service organization to lead final investment analysis and be responsible for solution implementation.

**Red Line Content:** Acquisition Management Policy:

**Section 2.4.2.2 : ~~Joint Resource Council~~ Investment Decision Authority Actions**

The ~~Joint~~ investment decision authority (see ~~Resources~~ Table Council 1.2.5-1):

- Selects the alternative to be implemented or rejects the alternatives and specifies what action is needed; ~~Approves a preliminary~~
- Approves the preliminary Exhibit 300 ~~program~~ (designated baseline programs only);
- ; ~~Approves entry into final investment analysis;~~
- Approves funding for any analytical or developmental work related to the selected alternative;
- Designates the service organization to lead final investment analysis and be responsible for solution implementation.

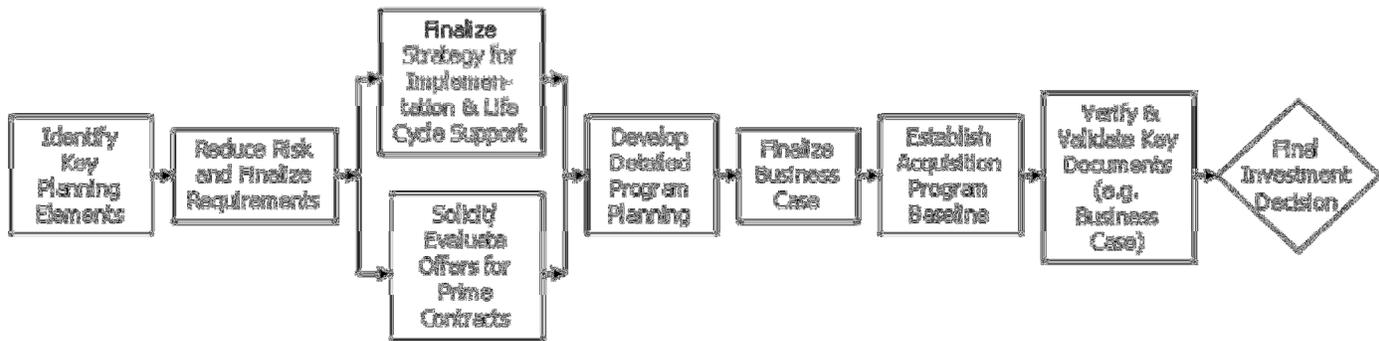
**Section 2.4.1.3 : Final Investment Analysis - Plan and Baseline the Investment**

**Old Content:** Acquisition Management Policy:

**Section 2.4.1.3 : Final Investment Analysis - Plan and Baseline the Investment**

The plan for final investment analysis specifies the resources, schedule, activities, documentation and exit criteria for final investment analysis. Figure 2.4.3-1 identifies principal activities.

**Figure 2.4.3-1 Principal Activities of Final Investment Analysis**



**New Content: Acquisition Management Policy:  
Section 2.4.1.3 : Who Does It?**

Investment analysis teams consisting of authorized representatives from all key stakeholder organizations perform initial investment analysis.

The ATO Finance business case analysis organization guides and advises service organizations in the conduct of initial investment analysis, reviews and validates the business cases developed by service organizations, and confirms the business case analysis report is complete and consistent with FAA standards. This organization also provides standards, guidance, training, and consulting to service organizations to ensure consistency in the conduct of investment analyses.

The implementing service organization leads the investment analysis team using standard FAA investment analysis tools and guidance. It also assesses technology, generates cost and schedule estimates for alternative solutions, and determines what performance and supportability can be achieved within these estimates. The conduct of investment analyses in support of baseline change requests is negotiated between the service organization and the ATO Finance business case analysis organization.

The operating service organization participates on the investment analysis team. Its primary responsibilities are to ensure sound lifecycle management planning for operational support during in-service management and to assist the refinement of requirements in the program requirements document.

The capital investment team assesses the budget impact of each alternative and makes offset recommendations.

The AIO Value Management Office independently reviews and scores the preliminary Exhibit 300 for designated programs.

Stakeholders participate as authorized team members throughout investment analysis, providing perspective and recommendations on behalf of their organizations.

**Red Line Content:** Acquisition Management Policy:

**Section 2.4.1.3 : ~~Final Investment~~ Who Does Analysis It? ~~- Plan and Baseline the Investment~~**

The plan for final investment analysis specifies the resources, schedule, activities, documentation and exit criteria for final investment analysis. Figure 2.4.3-1 identifies principal activities.

**Figure 2.4.3-1 Principal Activities of Final Investment Analysis**



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**Section 2.4.1.4 : Who Approves?**

**Old Content:** Acquisition Management Policy:

**Section 2.4.1.4 : Who Approves?**

The Vice President or Director of the service organization or line of business, approves the initial business case analysis report. The Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization approve the plan for final investment analysis. The Vice Presidents (ATO) or Directors (non-ATO) of the sponsoring and operating service organizations approves updated requirements in Exhibit 300 program baseline attachment 1: Program Requirements. The Chief Architect for the NAS enterprise architecture approves NAS architecture products and amendments. The Chief Information Officer approves mission support, administrative, and any other architecture products and amendments delegated to the ITEB by the JRC. The Vice President (ATO) or Director (non-ATO) of the operating service organization may implement a nonmaterial solution that emerges during investment analysis when it can be fully funded within existing approved resources and upon concurrence by the appropriate enterprise architecture control board. The Acquisition Executive, Chief Financial Officer, Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business, and the ATO Senior Vice President for Finance approve the preliminary Exhibit 300 program baseline. The Acquisition Executive approves tailoring of the investment analysis process.

**New Content:** Acquisition Management Policy:

**Section 2.4.1.4 : Who Approves?**

The Vice President or Director of the implementing service organization approves the initial business case analysis report. The Vice Presidents (ATO) or Directors (non-ATO) of the service organization executing during solution implementation and the operating service organization approve the plan for final investment analysis. Within the ATO, the Vice Presidents of the service organization executing during solution implementation and the operating service organization approve updated requirements in the program requirements document. In the other lines of business, the second-level executive of the executing service organization approves the

updated program requirements document. The Chief Architect for the NAS enterprise architecture approves NAS architecture products and amendments. The Chief Information Officer approves mission support, administrative, and any other architecture products and amendments delegated to the ITEB by the JRC. The Vice President (ATO) or Director (non-ATO) of the operating service organization may implement a nonmaterial solution that emerges during investment analysis when it can be fully funded within existing approved resources and upon concurrence by the appropriate enterprise architecture control board. The Acquisition Executive, Chief Financial Officer, Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business, and the ATO Senior Vice President for Finance approve the preliminary Exhibit 300 for designated programs. The Acquisition Executive approves tailoring of the investment analysis process.

**Red Line Content: Acquisition Management Policy:  
Section 2.4.1.4 : Who Approves?**

The Vice President or Director of the ~~or line of business,~~ *implementing* service organization approves the initial business case analysis report. ~~The Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need~~ *executing during solution implementation* and the ~~operating service organization~~ *operating service organization* approve the plan for final investment analysis. ~~The Vice Presidents (ATO) or Directors, the Vice (non-ATO) Presidents of the sponsoring~~ *service organization executing during solution implementation* and ~~the~~ *operating service organizations* ~~approves~~ *organization approve* updated requirements in ~~Exhibit 300~~ *the program baseline* ~~requirements document. In the other lines of business, the second-level executive of the executing attachment~~ *service organization approves the updated program requirements document.* The Chief Architect for the NAS enterprise architecture approves NAS architecture products and amendments. The Chief Information Officer approves mission support, administrative, and any other architecture products and amendments delegated to the ITEB by the JRC. The Vice President (ATO) or Director (non-ATO) of the operating service organization may implement a nonmaterial solution that emerges during investment analysis when it can be fully funded within existing approved resources and upon concurrence by the appropriate enterprise architecture control board. The Acquisition Executive, Chief Financial Officer, ~~Chief Operating Officer (ATO) or the Associate or Assistant Administrator (non-ATO) of the line of business, and the ATO Senior Vice President for Finance~~ *approve the preliminary Exhibit 300 program for designated baseline programs.* The Acquisition Executive approves tailoring of the investment analysis process.

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**Section 2.4.3.2 : Initial Investment Decision**

**Old Content: Acquisition Management Policy:  
Section 2.4.3.2 : Initial Investment Decision**

The Joint Resources Council selects the best alternative for implementation at the initial investment decision, based on information in the preliminary Exhibit 300 program baseline

and business case analysis report, or rejects the alternatives and specifies what action is needed. In making the decision, the Joint Resources Council uses the following standard selection criteria when determining which solution best contributes to FAA strategic and performance goals: benefits, lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals, and risk. When technology is not mature or when requirements are not well-defined, the JRC approves such action as research, analysis, or development rather than final investment analysis. JRC members agree on how each organization will support final investment analysis. Commitments are recorded in the plan for final investment analysis. The Acquisition Executive is the chairperson of the Joint Resources Council at the initial investment decision.

**New Content:** Acquisition Management Policy:

#### **Section 2.4.3.2 : Initial Investment Decision**

The investment decision authority selects the best alternative for implementation at the initial investment decision, based on information in the business case analysis report and preliminary Exhibit 300 (designated programs only), or rejects the alternatives and specifies what action is needed. In making the decision, the investment decision authority uses the following standard selection criteria when determining which solution best contributes to FAA strategic and performance goals: benefits, lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals, and risk. When technology is not mature or when requirements are not well-defined, the investment decision authority approves such action as research, analysis, or development rather than final investment analysis. Investment decision authority members agree on how each organization will support final investment analysis. Commitments are recorded in the plan for final investment analysis.

**Red Line Content:** Acquisition Management Policy:

#### **Section 2.4.3.2 : Initial Investment Decision**

The ~~Joint Resources Council~~*investment decision authority* selects the best alternative for implementation at the initial investment decision, based on information in the ~~preliminary Exhibit *business* 300 program baseline case analysis report~~ and ~~business case analysis preliminary Exhibit report~~*300 (designated programs only)*, or rejects the alternatives and specifies what action is needed. In making the decision, the ~~Joint Resources Council~~*investment decision authority* uses the following standard selection criteria when determining which solution best contributes to FAA strategic and performance goals: benefits, lifecycle cost; benefit to cost ratio; consistency with the enterprise architecture; impact on flight plan goals, and risk. When technology is not mature or when requirements are not well-defined, the ~~JRC~~*investment decision authority* approves such action as research, analysis, or development rather than final investment analysis. ~~JRC~~*Investment decision authority* members agree on how each organization will support final investment analysis. Commitments are recorded in the plan for final investment analysis. ~~The Acquisition Executive is the chairperson of the Joint Resources Council at the initial investment decision.~~

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#### **Section 2.4.3.3 : Who Does It?**

**Old Content:** Acquisition Management Policy:  
**Section 2.4.3.3 : Who Does It?**

The investment analysis team plans and conducts final investment analysis, coordinates development of the Exhibit 300 program baseline and its attachments, updates enterprise architecture products and amendments, prepares the final business case analysis report and briefing materials, and briefs key stakeholders and Joint Resource Council members in preparation for the final investment decision.

The service organization leads the investment analysis team, develops integrated program planning, issues solicitation packages and evaluates responses, and conducts whatever analyses, research, modeling, or simulation is necessary to lower risk and finalize requirements.

The ATO Finance business case analysis organization supports the service organization and ensures compliance with FAA investment analysis standards.

Key stakeholders work on and assist the investment analysis team in all aspects of final investment analysis, particularly risk management, information security, human factors, logistics support, and safety. They commit to what each will do to support the investment program throughout solution implementation and in-service management. Commitments are captured in Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning.

The capital investment team performs the final budget impact assessment.

The AIO Value Management Office independently reviews and scores the Exhibit 300 program baseline.

**New Content:** Acquisition Management Policy:  
**Section 2.4.3.3 : Who Does It?**

The investment analysis team plans and conducts final investment analysis, coordinates development of final program requirements and planning documents, updates enterprise architecture products and amendments, prepares the final business case analysis report, and briefs key stakeholders and the investment decision authority members in preparation for the final investment decision.

The service organization leads the investment analysis team, develops integrated program planning, issues solicitation packages and evaluates responses, and conducts whatever analyses, research, modeling, or simulation is necessary to lower risk and finalize requirements.

The ATO Finance business case analysis organization supports the service organization and ensures compliance with FAA investment analysis standards.

Key stakeholders work on and assist the investment analysis team in all aspects of final investment analysis, particularly risk management, information security, human factors, logistics support, and safety. They commit to what each will do to support the investment program

throughout solution implementation and in-service management. Commitments are captured in the implementation strategy and planning document.

The capital investment team performs the final budget impact assessment.

The AIO Value Management Office independently reviews and scores the Exhibit 300 for designated programs.

**Red Line Content: Acquisition Management Policy:  
Section 2.4.3.3 : Who Does It?**

The investment analysis team plans and conducts final investment analysis, coordinates development of ~~the Exhibit 300~~ **final 300** program ~~baseline~~ **requirements** and ~~its~~ **planning attachments** **documents**, updates enterprise architecture products and amendments, prepares the final business case analysis report ~~and briefing materials~~, and briefs key stakeholders and ~~Joint~~ **the investment Resource Council** **decision authority** members in preparation for the final investment decision.

~~The service organization~~ **leads** the investment analysis team, develops integrated program planning, issues solicitation packages and evaluates responses, and conducts whatever analyses, research, modeling, or simulation is necessary to lower risk and finalize requirements.

The ATO Finance business case analysis organization supports the service organization and ensures compliance with FAA investment analysis standards.

Key stakeholders work on and assist the investment analysis team in all aspects of final investment analysis, particularly risk management, information security, human factors, logistics support, and safety. They commit to ~~what each will do to support the investment program throughout solution implementation and in-service management. Commitments are captured in Exhibit 300 program baseline attachment 3:~~ **the Implementation Strategy** **implementation strategy** and **Planning** **planning document**.

The capital investment team performs the final budget impact assessment.

The AIO Value Management Office independently reviews and scores the Exhibit 300 ~~program~~ **for designated** ~~baseline~~ **programs**.

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**Section 2.4.4 : Final Investment Decision**

**Old Content: Acquisition Management Policy:  
Section 2.4.4 : Final Investment Decision**

The final investment decision determines whether an investment opportunity is approved for funding and entry into solution implementation. The Joint Resources Council or designated subordinate review board uses standard selection criteria when making the decision. JRC

members agree at the final investment decision what each will do to implement the solution. Commitments are included in the record of decision and tracked at all future program reviews. The Acquisition Executive is the chairperson at the final investment decision. Once a phase of a complex investment program approved by the Joint Resources Council at the final investment decision is successfully executed, the service organization conducts final investment analysis as prelude to a final investment decision for each subsequent phase of work.

**New Content: Acquisition Management Policy:**  
**Section 2.4.4 : Final Investment Decision**

The final investment decision determines whether an investment opportunity is approved for funding and entry into solution implementation. The investment decision authority uses standard FAA selection criteria when making the decision. Decision authority members agree at the final investment decision what each will do to implement the solution. Commitments are included in the record of decision and tracked at all future program reviews.

Once segment of an approved complex investment program is successfully executed, the service organization conducts final investment analysis as prelude to a final investment decision for each subsequent segment of work.

**Red Line Content: Acquisition Management Policy:**  
**Section 2.4.4 : Final Investment Decision**

The final investment decision determines whether an investment opportunity is approved for funding and entry into solution implementation. The ~~Joint Resources Council or designated subordinate~~ investment review board ~~decision authority~~ uses standard FAA selection criteria when making the decision. ~~JRC~~ Decision authority members agree at the final investment decision what each will do to implement the solution. Commitments are included in the record of decision and tracked at all future program reviews. ~~The Acquisition Executive is the chairperson at the final investment decision. Once a~~

~~Once a~~ phase ~~segment~~ of a complex investment program ~~an~~ approved ~~by the Joint Resources Council at the final~~ complex investment ~~decision~~ program is successfully executed, the service organization conducts final investment analysis as prelude to a final investment decision for each subsequent phase ~~segment~~ of work.

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**Section 2.4.4.1 : Entrance Criteria**

**Old Content: Acquisition Management Policy:**  
**Section 2.4.4.1 : Entrance Criteria**

The following are required at the final investment decision:

- Exhibit 300 program baseline, including attachment 1: Program Requirements, attachment 2: Final Business Case Analysis Report, attachment 3: Implementation Strategy and Planning;
- Updated enterprise architecture products and amendments;
- Exhibit 300 program baseline scoring results;
- Recommended authority for the in-service and production decisions.

**New Content:** Acquisition Management Policy:  
**Section 2.4.4.1 : Entrance Criteria**

The following are required at the final investment decision:

- Final program requirements document;
- Final business case analysis report;
- Implementation strategy and planning document;
- Acquisition program baseline;
- Updated enterprise architecture products and amendments;
- Exhibit 300 and scoring results for designated programs;
- Recommended authority for the product demonstration and production decisions (if required) and the in-service decision.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.4.4.1 : Entrance Criteria**

The following are required at the final investment decision:

- ~~Exhibit 300~~ **Final 300** program baseline, including attachment ~~1: Program Requirements, attachment 2: document;~~ **requirements 1: Program Requirements, attachment 2: document;**
- Final ~~Business Case Analysis Report, attachment 3: and Implementation Strategy document;~~ **business case analysis Report, attachment strategy 3: and Implementation planning Strategy document;**
- ~~Acquisition and Planning program baseline;~~ **Acquisition and Planning program baseline;**
- Updated enterprise architecture products and amendments;
- Exhibit 300 ~~program baseline~~ **and** scoring results **for designated programs;**
- Recommended authority for the ~~in-service~~ **product and demonstration and** production decisions **(if required) and the in-service decision.**

**Section 2.4.4.2 : What Must Be Done**

**Old Content:** Acquisition Management Policy:  
**Section 2.4.4.2 : What Must Be Done**

- **Identify key planning elements.** The investment analysis team identifies the actions and events necessary to deliver the solution within cost and schedule constraints and achieve projected service value and benefit. Complex investment programs may involve development of systems and equipment, modification or construction of facilities,

modification of the physical infrastructure, development of regulations, implementation of new procedures, purchase of real property, site acquisition and adaptation, and integration with other complex activities and programs. Complex programs may also involve planning and integration for a large number of functional disciplines such as systems engineering, logistics support, test and evaluation, risk management, system safety, human factors, configuration management, quality assurance, environmental factors, and security. If key planning elements are overlooked, resources will not be optimized, cost will grow, and schedule will not be met.

- **Reduce risk and finalize requirements.** The investment analysis team works with the service organization to finalize requirements and plan for major risks that threaten achievement of performance, cost, schedule, and benefit objectives. This includes detailed assessments of safety, security, and human factors, and impact on the enterprise architecture. Resultant risk mitigation resources and strategies are recorded in the Exhibit 300 program baseline attachment 1: Program Requirements contains quantified performance and supportability measures against which solution performance will be assessed during operational testing and post implementation reviews. Results are reported during service-level reviews. Risk mitigation actions are monitored and updated throughout solution implementation.
- **Finalize strategy for implementation and lifecycle support.** The service organization develops a detailed strategy for procuring, implementing, and supporting the solution over its lifecycle. This includes the roles and responsibilities of individuals and organizations critical to program success. This strategy includes the roles and responsibilities of individuals and organizations critical to program success such as safety, human factors, security, and logistics support. The strategy is recorded in attachment 3: Implementation Strategy and Planning of the Exhibit 300 program baseline.
- **Solicit and evaluate offers for prime contract(s).** *A request for offer may be released only after the initial investment decision.* The service team solicits offers and evaluates industry responses to ensure the costs, identified risks, and schedules contained in the Exhibit 300 program baseline and its attachments are of sufficient accuracy to procure, implement, deploy, and maintain the intended product or service over its projected service life within baseline values. When logistics support is required, an FAALC proposal for organic support must be evaluated along with those from other service providers. *Contract award is not made until AFTER the final investment decision.*
- **Develop detailed program planning.** The actions and activities necessary to implement the program are recorded in the Exhibit 300 program baseline and attachment 3: Implementation Strategy and Planning. This planning is developed using the FAA standard lifecycle work breakdown structure, standard program milestones, and a tailored in-service review checklist. Integrated program planning must be as complete and mature as possible at the time of the final investment decision since program success is crucially dependent on the quality of planning.
- **Finalize Exhibit 300 program baseline.** The investment analysis team develops an Exhibit 300 program baseline for the phase approved for implementation by the Joint Resources Council. This baseline establishes cost, schedule, performance, and benefit measures within which the service organization is authorized to perform and against which the program will be tracked. Full lifecycle costs, risk, and benefits are recorded in

the final business case analysis report. The capital investment team assesses the budget impact of the cost baseline. Results are reported in the final business case analysis report.

- **Independently score Exhibit 300 program baseline.** The AIO Value Management Office independently scores the Exhibit 300 program baseline. They work iteratively with the investment analysis team to improve the Exhibit 300 program baseline to a passing score using established OMB criteria.
- **Prepare for the final investment decision.** The investment analysis team completes the Exhibit 300 program baseline and its attachments, prepares briefing materials and documentation, and coordinates findings and recommendations with key stakeholders. They also work with the ATO Systems Engineering organization to update any necessary products and amendments to the enterprise architecture.
- **Identify key planning elements.** The investment analysis team identifies the actions and events necessary to deliver the solution within cost and schedule constraints and achieve projected service value and benefit. Complex investment programs may involve development of systems and equipment, modification or construction of facilities, modification of the physical infrastructure, development of regulations, implementation of new procedures, purchase of real property, site acquisition and adaptation, and integration with other complex activities and programs. Complex programs may also involve planning and integration for a large number of functional disciplines such as systems engineering, logistics support, test and evaluation, risk management, system safety, human factors, configuration management, quality assurance, environmental factors, and security. If key planning elements are overlooked, resources will not be optimized, cost will grow, and schedule will not be met.
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- **Finalize strategy for implementation and lifecycle support.** The service organization develops a detailed strategy for procuring, implementing, and supporting the solution over its lifecycle. This includes the roles and responsibilities of individuals and organizations critical to program success. This strategy includes the roles and responsibilities of individuals and organizations critical to program success such as safety, human factors, security, and logistics support. The strategy is recorded in attachment 3: Implementation Strategy and Planning of the Exhibit 300 program baseline.
- **Solicit and evaluate offers for prime contract(s).** *A request for offer may be released only after the initial investment decision.* The service team solicits offers and evaluates industry responses to ensure the costs, identified risks, and schedules contained in the Exhibit 300 program baseline and its attachments are of sufficient accuracy to procure, implement, deploy, and maintain the intended product or service over its projected

service life within baseline values. When logistics support is required, an FAALC proposal for organic support must be evaluated along with those from other service providers. *Contract award is not made until AFTER the final investment decision.*

- **Develop detailed program planning.** The actions and activities necessary to implement the program are recorded in the Exhibit 300 program baseline and attachment 3: Implementation Strategy and Planning. This planning is developed using the FAA standard lifecycle work breakdown structure, standard program milestones, and a tailored in-service review checklist. Integrated program planning must be as complete and mature as possible at the time of the final investment decision since program success is crucially dependent on the quality of planning.
- **Finalize Exhibit 300 program baseline.** The investment analysis team develops an Exhibit 300 program baseline for the phase approved for implementation by the Joint Resources Council. This baseline establishes cost, schedule, performance, and benefit measures within which the service organization is authorized to perform and against which the program will be tracked. Full lifecycle costs, risk, and benefits are recorded in the final business case analysis report. The capital investment team assesses the budget impact of the cost baseline. Results are reported in the final business case analysis report.
- **Independently score Exhibit 300 program baseline.** The AIO Value Management Office independently scores the Exhibit 300 program baseline. They work iteratively with the investment analysis team to improve the Exhibit 300 program baseline to a passing score using established OMB criteria.
- **Prepare for the final investment decision.** The investment analysis team completes the Exhibit 300 program baseline and its attachments, prepares briefing materials and documentation, and coordinates findings and recommendations with key stakeholders. They also work with the ATO Systems Engineering organization to update any necessary products and amendments to the enterprise architecture.
- **Identify key planning elements.** The investment analysis team identifies the actions and events necessary to deliver the solution within cost and schedule constraints and achieve projected service value and benefit. Complex investment programs may involve development of systems and equipment, modification or construction of facilities, modification of the physical infrastructure, development of regulations, implementation of new procedures, purchase of real property, site acquisition and adaptation, and integration with other complex activities and programs. Complex programs may also involve planning and integration for a large number of functional disciplines such as systems engineering, logistics support, test and evaluation, risk management, system safety, human factors, configuration management, quality assurance, environmental factors, and security. If key planning elements are overlooked, resources will not be optimized, cost will grow, and schedule will not be met.
- **Reduce risk and finalize requirements.** The investment analysis team works with the service organization to finalize requirements and plan for major risks that threaten achievement of performance, cost, schedule, and benefit objectives. This includes detailed assessments of safety, security, and human factors, and impact on the enterprise architecture. Resultant risk mitigation resources and strategies are recorded in the implementation strategy and planning document. The final program requirements document contains quantified performance and supportability measures against which

solution performance will be assessed during operational testing and post implementation review. Risk mitigation actions are monitored and updated throughout solution implementation.

- **Finalize strategy for implementation and lifecycle support.** The service organization develops a detailed strategy for procuring, implementing, and supporting the solution over its lifecycle. This includes the roles and responsibilities of individuals and organizations critical to program success. This strategy includes the roles and responsibilities of individuals and organizations critical to program success such as safety, human factors, security, and logistics support. The strategy is recorded in the implementation strategy and planning document.
- **Solicit and evaluate offers for prime contract(s).** *A request for offer may be released only after the initial investment decision.* The service team solicits offers and evaluates industry responses to ensure the costs, identified risks, and schedules contained in the acquisition program baseline and planning documents are of sufficient accuracy to procure, implement, deploy, and maintain the intended product or service over its projected service life within baseline values. When logistics support is required, an FAALC proposal for organic support must be evaluated along with those from other service providers. *Contract award is not made until AFTER the final investment decision.*
- **Develop detailed program planning.** The actions and activities necessary to implement the investment program are recorded in the implementation strategy and planning document. This planning is developed using the FAA standard lifecycle work breakdown structure, standard program milestones, and a tailored in-service review checklist. Integrated program planning must be as complete and mature as possible at the time of the final investment decision since program success is crucially dependent on the quality of planning.
- **Finalize the Business Case.** The business case analysis report is updated to reflect anticipated contractor and government costs and schedules based on the offers from industry. Full lifecycle costs, risk, and benefits are recorded in the final business case analysis report. The capital investment team assesses the budget impact of the cost baseline.
- **Finalize Exhibit 300 (designated programs only).** The investment analysis team develops an Exhibit 300 for the segment approved for implementation by the investment decision authority. The AIO Value Management Office independently scores the Exhibit 300 and work iteratively with the investment analysis team to improve the product to a passing score using established OMB criteria.
- **Establish the Acquisition Program Baseline.** The acquisition program baseline establishes the cost, schedule, and performance measures within which the service organization is authorized to perform and against which the program will be tracked.
- **Prepare for the final investment decision.** The investment analysis team completes all outputs and products of final investment analysis and coordinates findings and recommendations with key stakeholders. They also work with the ATO Systems Engineering organization to update any necessary products and amendments to the enterprise architecture.

'#FF0000'>strategy and 1-planning Program document. The final program Requirements requirements document contains quantified performance and supportability

measures against which solution performance will be assessed during operational testing and post implementation ~~reviews. Results are reported during service level reviews~~review. Risk mitigation actions are monitored and updated throughout solution implementation.

- **Finalize strategy for implementation and lifecycle support.** The ~~service organization~~ develops a detailed strategy for procuring, implementing, and supporting the solution over its lifecycle. This includes the roles and responsibilities of individuals and organizations critical to program success. This strategy includes the roles and responsibilities of individuals and organizations critical to program success such as safety, human factors, security, and logistics support. The strategy is recorded in ~~attachment 3:the Implementation Strategy~~implementation strategy and ~~Planning of the Exhibit 300 program~~planning baseline document.

- **Solicit and evaluate offers for prime contract(s).** *A request for offer may be released only after the initial investment decision.* The service team solicits offers and evaluates industry responses ~~to ensure the costs, identified risks, and schedules contained in the Exhibit 300~~acquisition program baseline and ~~its attachments~~planning documents are of sufficient accuracy to ~~procure, implement, deploy, and maintain the intended product or service over its projected service life within baseline values.~~ When logistics support is required, an FAALC proposal for organic support must be evaluated along with those from other service providers. *Contract award is not made until AFTER the final investment decision.*

- **Develop detailed program planning.** The actions and activities necessary to implement the investment program are recorded in the ~~Exhibit 300 program~~implementation baseline strategy and ~~attachment 3: Implementation Strategy and~~planning Planning document. This planning is developed using the ~~FAA standard lifecycle work breakdown structure, standard program milestones,~~ and a tailored in-service review checklist. Integrated program planning ~~must be as complete and mature as possible at the time of the final investment decision,~~ since program ~~success~~ is crucially dependent on the quality of planning.

- **Finalize Exhibit 300**the program baseline Business Case. The ~~against~~schedules which the program will be tracked based on the offers from industry. Full lifecycle costs, risk, and benefits are recorded in the final business case analysis report. The capital investment team assesses the budget impact of the cost baseline. ~~Results~~

- **Finalize** ~~are reported~~Exhibit 300 in (designated the programs only). ~~business case~~The investment analysis report. Independently ~~team score~~develops an Exhibit 300 ~~program for~~baseline ~~the segment approved for implementation by the investment decision authority~~. The AIO Value Management Office independently scores the Exhibit 300 ~~program baseline~~. ~~They~~and work iteratively with the investment analysis team to improve the ~~Exhibit 300 program~~baseline product to a passing score using established OMB criteria.

- **Establish the Acquisition Program Baseline. The acquisition program baseline establishes the cost, schedule, and performance measures within which the service organization is authorized to perform and against which the program will be tracked.**

- **Prepare for the final investment decision.** The investment analysis team completes ~~the Exhibit 300 program~~all baseline outputs and its attachments, ~~prepares~~products ~~briefing materials and of final investment documentation,~~analysis and coordinates findings and recommendations with key stakeholders. They also work with the ATO Systems Engineering organization to update any necessary products and amendments to the enterprise architecture.

**New Content:** Acquisition Management Policy:

#### **Section 2.4.4.2 : What Must Be Done**

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- **Identify key planning elements.** The investment analysis team identifies the actions and events necessary to deliver the solution within cost and schedule constraints and achieve projected service value and benefit. Complex investment programs may involve development of systems and equipment, modification or construction of facilities, modification of the physical infrastructure, development of regulations, implementation of new procedures, purchase of real property, site acquisition and adaptation, and integration with other complex activities and programs. Complex programs may also involve planning and integration for a large number of functional disciplines such as systems engineering, logistics support, test and evaluation, risk management, system safety, human factors, configuration management, quality assurance, environmental factors, and security. If key planning elements are overlooked, resources will not be optimized, cost will grow, and schedule will not be met.
- **Reduce risk and finalize requirements.** The investment analysis team works with the service organization to finalize requirements and plan for major risks that threaten achievement of performance, cost, schedule, and benefit objectives. This includes detailed assessments of safety, security, and human factors, and impact on the enterprise architecture. Resultant risk mitigation resources and strategies are recorded in the implementation strategy and planning document. The final program requirements document contains quantified performance and supportability measures against which solution performance will be assessed during operational testing and post implementation review. Risk mitigation actions are monitored and updated throughout solution implementation.
- **Finalize strategy for implementation and lifecycle support.** The service organization develops a detailed strategy for procuring, implementing, and supporting the solution over its lifecycle. This includes the roles and responsibilities of individuals and organizations critical to program success. This strategy includes the roles and responsibilities of individuals and organizations critical to program success such as safety, human factors, security, and logistics support. The strategy is recorded in the implementation strategy and planning document.
- **Solicit and evaluate offers for prime contract(s).** *A request for offer may be released only after the initial investment decision.* The service team solicits offers and evaluates industry responses to ensure the costs, identified risks, and schedules contained in the acquisition program baseline and planning documents are of sufficient accuracy to procure, implement, deploy, and maintain the intended product or service over its projected service life within baseline values. When logistics support is required, an FAALC proposal for organic support must be evaluated along with those from other service providers. *Contract award is not made until AFTER the final investment decision.*
- **Develop detailed program planning.** The actions and activities necessary to implement the investment program are recorded in the implementation strategy and planning document. This planning is developed using the FAA standard lifecycle work breakdown structure, standard program milestones, and a tailored in-service review checklist. Integrated program planning must be as complete and mature as possible at the time of the final investment decision since program success is crucially dependent on the quality of planning.
- **Finalize the Business Case.** The business case analysis report is updated to reflect anticipated contractor and government costs and schedules based on the offers from

industry. Full lifecycle costs, risk, and benefits are recorded in the final business case analysis report. The capital investment team assesses the budget impact of the cost baseline.

- **Finalize Exhibit 300 (designated programs only).** The investment analysis team develops an Exhibit 300 for the segment approved for implementation by the investment decision authority. The AIO Value Management Office independently scores the Exhibit 300 and work iteratively with the investment analysis team to improve the product to a passing score using established OMB criteria.
- **Establish the Acquisition Program Baseline.** The acquisition program baseline establishes the cost, schedule, and performance measures within which the service organization is authorized to perform and against which the program will be tracked.
- **Prepare for the final investment decision.** The investment analysis team completes all outputs and products of final investment analysis and coordinates findings and recommendations with key stakeholders. They also work with the ATO Systems Engineering organization to update any necessary products and amendments to the enterprise architecture.

**Red Line Content: Acquisition Management Policy:**  
**Section 2.4.4.2 : What Must Be Done**

- **Identify key planning elements.** The investment analysis team identifies the actions and events necessary to deliver the solution within cost and schedule constraints and achieve projected service value and benefit. Complex investment programs may involve development of systems and equipment, modification or construction of facilities, modification of the physical infrastructure, development of regulations, implementation of new procedures, purchase of real property, site acquisition and adaptation, and integration with other complex activities and programs. Complex programs may also involve planning and integration for a large number of functional disciplines such as systems engineering, logistics support, test and evaluation, risk management, system safety, human factors, configuration management, quality assurance, environmental factors, and security. If key planning elements are overlooked, resources will not be optimized, cost will grow, and schedule will not be met.
- **Reduce risk and finalize requirements.** The investment analysis team works with the service organization to finalize requirements and plan for major risks that threaten achievement of performance, cost, schedule, and benefit objectives. This includes detailed assessments of safety, security, and human factors, and impact on the enterprise architecture. Resultant risk mitigation resources and strategies are recorded in the ~~Exhibit 300 program~~implementation baseline attachment~~strategy and planning~~Program document. The final program Requirements~~requirements document~~ contains quantified performance and supportability measures against which solution performance will be assessed during operational testing and post implementation ~~reviews. Results are reported during service level reviews~~review. Risk mitigation actions are monitored and updated throughout solution implementation.
- **Finalize strategy for implementation and lifecycle support.** The ~~service organization~~ develops a detailed strategy for procuring, implementing, and supporting the solution over its lifecycle. This includes the roles and responsibilities of individuals

and organizations critical to program success. This strategy includes the roles and responsibilities of individuals and organizations critical to program success such as safety, human factors, security, and logistics support. The strategy is recorded in attachment 3: the Implementation Strategy implementation strategy and Planning of the Exhibit 300 program planning baseline document.

- **Solicit and evaluate offers for prime contract(s).** *A request for offer may be released only after the initial investment decision.* The service team solicits offers and evaluates industry responses to ensure the costs, identified risks, and schedules contained in the Exhibit 300 acquisition program baseline and its attachments planning documents are of sufficient accuracy to procure, implement, deploy, and maintain the intended product or service over its projected service life within baseline values. When logistics support is required, an FAALC proposal for organic support must be evaluated along with those from other service providers. *Contract award is not made until AFTER the final investment decision.*
- **Develop detailed program planning.** The actions and activities necessary to implement the investment program are recorded in the Exhibit 300 program implementation baseline strategy and attachment 3: Implementation Strategy and Planning document. This planning is developed using the FAA standard lifecycle work breakdown structure, standard program milestones, and a tailored in-service review checklist. Integrated program planning must be as complete and mature as possible at the time of the final investment decision since program success is crucially dependent on the quality of planning.
- **Finalize Exhibit 300 the program baseline Business Case.** The investment analysis team develops an Exhibit 300 program baseline for the phase approved for implementation by the business Joint Resources case analysis Council report. This baseline establishes is updated to cost, reflect schedule, anticipated performance, contractor and benefit measures within which the service organization is authorized to government perform costs and against schedules which the program will be tracked based on the offers from industry. Full lifecycle costs, risk, and benefits are recorded in the final business case analysis report. The capital investment team assesses the budget impact of the cost baseline. Results
- **Finalize are reported Exhibit 300 in (designated the programs final only).** business case The investment analysis report. Independently team score develops an Exhibit 300 program for baseline the segment approved for implementation by the investment decision authority. The AIO Value Management Office independently scores the Exhibit 300 program baseline. They and work iteratively with the investment analysis team to improve the Exhibit 300 program baseline product to a passing score using established OMB criteria.
- **Establish the Acquisition Program Baseline. The acquisition program baseline establishes the cost, schedule, and performance measures within which the service organization is authorized to perform and against which the program will be tracked.**
- **Prepare for the final investment decision.** The investment analysis team completes the Exhibit 300 program all baseline outputs and its attachments, prepares products briefing materials and of final investment documentation, analysis and coordinates findings and recommendations with key stakeholders. They also work with the ATO Systems

Engineering organization to update any necessary products and amendments to the enterprise architecture.

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### **Section 2.5 : Solution Implementation**

**Old Content:** Acquisition Management Policy:

#### **Section 2.5 : Solution Implementation**

Solution implementation begins at the final investment decision when the Joint Resources Council approves and funds an investment program or phase, establishes the Exhibit 300 program baseline for variance tracking, and authorizes the service organization to proceed with implementation. Solution implementation ends when a new service or capability is commissioned into operational use at all sites.

Detailed program planning, including the solicitation and evaluation of offers for prime contract(s), occurs during final investment analysis and before the final investment decision. This ensures accurate contract costs, risks, and schedules are reflected in the Exhibit 300 program baseline and its attachments. These plans and baselines are revalidated, and updated if necessary, after contract award to ensure they can realistically serve as the management construct for program implementation. The Exhibit 300 program baseline and its attachments are maintained and kept current throughout solution implementation.

The overarching goal of solution implementation is to satisfy user requirements and achieve the benefit targets in the Exhibit 300 program baseline. To achieve this, the service organization must work with users and stakeholders throughout solution implementation to resolve issues as they arise. The service organization must also track benefit targets in the Exhibit 300 program baseline and execute the actions necessary to achieve them. Actions outside the direct control of the service organization (e.g., regulatory changes) are recorded in attachment 3: Implementation Strategy and Planning of the Exhibit 300 program baseline and tracked at service-level reviews throughout solution implementation.

The activities undertaken during solution implementation vary widely and are tailored for the solution or capability being implemented. FAST contains tailored process flowcharts for representative types of investment program (systems and software, facilities, services). These flowcharts identify actions and activities the service organization may need to execute to achieve projected capability, value, and benefits. Instructions, templates, best practices, good examples, and lessons-learned are attached to many activities in the flowcharts to assist lifecycle management specialists as they plan and execute activities that make sense for their investment program.

Although service organizations are empowered to implement investment programs and manage them over their lifecycle, they must adhere to built-in checks and balances. The Exhibit 300 program baseline establishes the performance, cost, schedule, and benefit boundaries within which the service organization is authorized to operate. The service organization must report all

negatives variance from Exhibit 300 cost, schedule, performance, and benefit baseline measures and undertake corrective action in accordance with AMS Section 1.2.6.

The service organization monitors cost, schedule, and performance status against targets in the Exhibit 300 program baseline and its attachments on a continuing basis, and takes corrective action when variances from planning objectives arise. It also reports program status at service-level reviews. The focus of these reviews is to identify high-risk issues requiring resolution and to ensure *all* actions necessary to achieve projected value and benefits are being executed satisfactorily, particularly those outside the control of the service organization. The service organization applies the principles of earned value management to development, modernization, and enhancement investment programs, and when applicable, uses audits to ensure contract costs are proper and allowable.

The service organization captures expenditures consistent with the program baseline work breakdown structure fashioned during final investment analysis and recorded in the attachment 3: Implementation Strategy and Planning of the Exhibit 300 program baseline.

Solution implementation is organized into the six sets of activity shown in Figure 2.5.1-1. These activities are tailored to the special requirements of each investment program.

**Figure 2.5.1-1 Primary Activities of Solution Implementation**



**New Content: Acquisition Management Policy:  
Section 2.5 : Solution Implementation**

Solution implementation begins at the final investment decision when the investment decision authority approves and funds an investment program or segment, establishes the acquisition program baseline for variance tracking, and authorizes the service organization to proceed with implementation. Solution implementation ends when a new service or capability is commissioned into operational use at all sites.

Detailed program planning, including the solicitation and evaluation of offers for prime contract(s), occurs during final investment analysis and before the final investment decision. This ensures accurate contract costs, risks, and schedules are reflected in the acquisition program baseline and program planning documents. These plans and baselines are revalidated, and updated if necessary, after contract award to ensure they can realistically serve as the management construct for program implementation. They are kept current throughout solution implementation.

The overarching goal of solution implementation is to satisfy user requirements and achieve the benefit targets in the business case analysis report. To achieve this, the service organization must

work with users and stakeholders throughout solution implementation to resolve issues as they arise. Actions outside the direct control of the service organization (e.g., regulatory changes) are recorded in the implementation strategy and planning document and tracked at program reviews throughout solution implementation.

The activities undertaken during solution implementation vary widely and are tailored for the solution or capability being implemented. FAST contains tailored process flowcharts for representative types of investment program (systems and software, facilities, services). These flowcharts identify actions and activities the service organization may need to execute to achieve projected capability, value, and benefits. Instructions, templates, best practices, good examples, and lessons-learned are attached to many activities in the flowcharts to assist lifecycle management specialists as they plan and execute activities that make sense for their investment program.

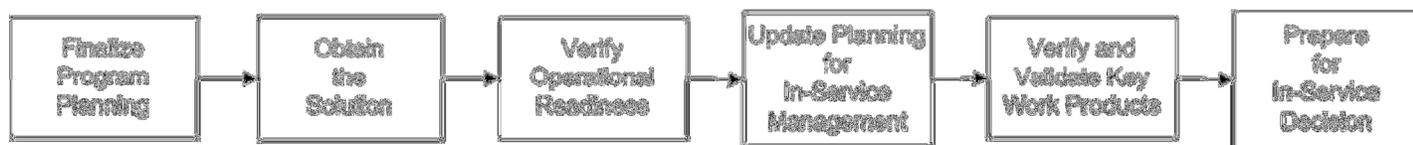
Although service organizations are empowered to implement investment programs and manage them over their lifecycle, they must adhere to built-in checks and balances. The acquisition program baseline establishes the performance, cost, schedule boundaries within which the service organization is authorized to operate. The service organization must report all negatives variance from cost, schedule, and performance baseline measures and undertake corrective action in accordance with AMS Section 1.2.3.

The service organization monitors cost, schedule, and performance status against targets in the acquisition program baseline on a continuing basis, and takes corrective action when variances from planning objectives arise. The service organization also reports program status at service-level reviews. The focus of these reviews is to identify high-risk issues requiring resolution and to ensure all actions necessary to achieve projected value and benefits are being executed satisfactorily, particularly those outside the control of the service organization. The service organization applies the principles of earned value management to development, modernization, and enhancement investment programs, and when applicable, uses audits to ensure contract costs are proper and allowable.

The service organization captures expenditures consistent with the program baseline work breakdown structure fashioned during final investment analysis.

Solution implementation is organized into the six sets of activity shown in Figure 2.5.1-1. These activities are tailored to the special requirements of each investment program.

**Figure 2.5.1-1 Primary Activities of Solution Implementation**



**Red Line Content: Acquisition Management Policy:  
Section 2.5 : Solution Implementation**

Solution implementation begins at the final investment decision when the [Joint Resources Council investment decision authority](#) approves and funds an investment program or [phase segment](#), establishes the [Exhibit 300 acquisition](#) program baseline for variance tracking, and authorizes the [service organization](#) to proceed with implementation. Solution implementation ends when a new service or capability is commissioned into operational use at all sites. ~~Detailed~~

~~Detailed~~ program planning, including the solicitation and evaluation of offers for prime contract(s), occurs during final investment analysis and before the final investment decision. This ensures accurate contract costs, risks, and schedules are reflected in the [Exhibit acquisition 300](#) program baseline and ~~its~~ [program planning attachments documents](#). These plans and baselines are revalidated, and updated if necessary, after contract award to ensure they can realistically serve as the management construct for program implementation. ~~The Exhibit 300 program baseline and~~ [They](#) ~~its attachments~~ are ~~maintained and~~ kept current throughout solution implementation. ~~The~~

~~The~~ overarching goal of solution implementation is to satisfy user requirements and achieve the benefit targets in the [Exhibit 300 program baseline business case analysis report](#). To achieve this, the ~~service organization~~ must work with users and stakeholders throughout solution implementation to ~~resolve~~ issues as they arise. ~~The service organization must also track benefit targets in the Exhibit 300 program baseline and execute the actions necessary to achieve them.~~ Actions outside the direct control of the ~~service organization~~ (e.g., regulatory changes) are recorded in ~~attachment 3: the Implementation Strategy~~ [implementation strategy](#) and ~~Planning of the Exhibit 300~~ [planning program document](#) baseline and tracked at ~~service-level~~ [program](#) reviews throughout solution implementation. ~~The~~

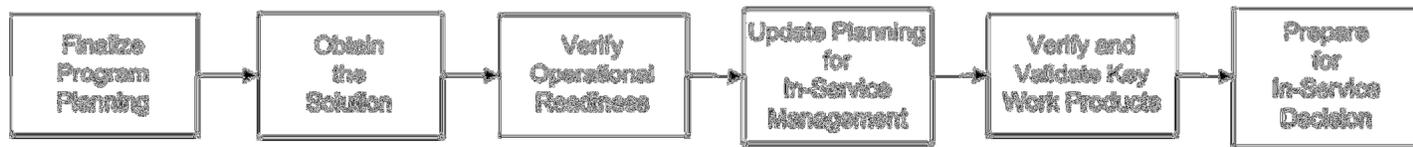
~~The~~ activities undertaken during solution implementation vary widely and are tailored for the solution or capability being implemented. FAST contains tailored process flowcharts for representative types of investment program (systems and software, facilities, services). These flowcharts identify actions and activities the ~~service organization~~ may need to execute to achieve projected capability, value, and benefits. Instructions, templates, best practices, good examples, and lessons-learned are attached to many activities in the flowcharts to assist lifecycle management specialists as they plan and execute activities that make sense for their investment program. ~~acquisition 300~~ program baseline establishes the performance, cost, schedule, ~~and~~ [benefit](#) boundaries within which the ~~service organization~~ is authorized to operate. The ~~service organization~~ must report all negatives variance from ~~Exhibit 300~~ cost, schedule, [performance](#), and ~~benefit~~ [performance](#) baseline measures and undertake corrective action in accordance with AMS Section 1.2.63. ~~The~~

~~The~~ ~~service organization~~ monitors cost, schedule, and performance status against targets in the [Exhibit acquisition 300](#) program baseline ~~and its attachments~~ on a continuing basis, and takes corrective action when variances from planning objectives arise. ~~It~~ [The service organization](#) also reports program status at ~~service-level~~ reviews. The focus of ~~these~~ reviews is to identify high-risk issues requiring resolution and to ensure all actions necessary to achieve projected value and benefits are being executed satisfactorily, particularly those outside the control of the service organization. The service organization applies the principles of earned value management to ~~development, modernization, and enhancement~~ investment programs, and when applicable, uses audits to ensure contract costs are proper and allowable. ~~The~~

~~The~~ ~~service organization~~ captures expenditures consistent with the program baseline work breakdown structure fashioned during final investment analysis ~~and recorded in the attachment 3:~~

Implementation Strategy and Planning of the Exhibit 300 program baseline. **Solution Solution** implementation is organized into the six sets of activity shown in Figure 2.5.1-1. These activities are tailored to the special requirements of each investment program.

**Figure 2.5.1-1 Primary Activities of Solution Implementation**



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#### **Section 2.4.4 : Who Does It?**

**Old Content:** Acquisition Management Policy:

#### **Section 2.4.4 : Who Does It?**

The investment analysis team plans and conducts final investment analysis, coordinates development of the Exhibit 300 program baseline and its attachments, updates enterprise architecture products and amendments, prepares the final business case analysis report and briefing materials, and briefs key stakeholders and Joint Resource Council members in preparation for the final investment decision.

The service organization leads the investment analysis team, develops integrated program planning, issues solicitation packages and evaluates responses, and conducts whatever analyses, research, modeling, or simulation is necessary to lower risk and finalize requirements.

The ATO Finance business case analysis organization supports the service organization and ensures compliance with FAA investment analysis standards.

Key stakeholders work on and assist the investment analysis team in all aspects of final investment analysis, particularly risk management, information security, human factors, logistics support, and safety. They commit to what each will do to support the investment program throughout solution implementation and in-service management. Commitments are captured in Exhibit 300 program baseline attachment 3: Implementation Strategy and Planning.

The capital investment team performs the final budget impact assessment.

The AIO Value Management Office independently reviews and scores the Exhibit 300 program baseline.

**New Content:** Acquisition Management Policy:

#### **Section 2.4.4 : Final Investment Decision**

The final investment decision determines whether an investment opportunity is approved for funding and entry into solution implementation. The investment decision authority uses standard

FAA selection criteria when making the decision. Decision authority members agree at the final investment decision what each will do to implement the solution. Commitments are included in the record of decision and tracked at all future program reviews.

Once segment of an approved complex investment program is successfully executed, the service organization conducts final investment analysis as prelude to a final investment decision for each subsequent segment of work.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.4.4 :** ~~Who Does~~ Final Investment It? Decision

The investment analysis team plans and conducts final investment analysis, coordinates development of ~~the Exhibit~~ final 300 program ~~baseline~~ requirements and ~~its~~ planning attachments documents, updates enterprise architecture products and amendments, prepares the final business case analysis report ~~and briefing materials~~, and briefs key stakeholders and ~~Joint~~ the investment Resource Council decision authority members in preparation for the final investment decision.

The ~~service organization~~ leads the investment analysis team, develops integrated program planning, issues solicitation packages and evaluates responses, and conducts whatever analyses, research, modeling, or simulation is necessary to lower risk and finalize requirements.

The ATO Finance business case analysis organization supports the service organization and ensures compliance with FAA investment analysis standards.

Key stakeholders work on and assist the investment analysis team in all aspects of final investment analysis, particularly risk management, information security, human factors, logistics support, and safety. They commit to ~~what each will do to support the investment program throughout solution implementation and in-service management. Commitments are captured in Exhibit 300 program baseline attachment 3:~~ the Implementation Strategy implementation strategy and Planning planning document.

The capital investment team performs the final budget impact assessment.

The AIO Value Management Office independently reviews and scores the Exhibit 300 ~~program~~ for designated ~~baseline~~ programs.

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**Section 2.4.4.1 : Entrance Criteria**

**Old Content:** Acquisition Management Policy:  
**Section 2.4.4.1 : Entrance Criteria**

The following are required at the final investment decision:

- Exhibit 300 program baseline, including attachment 1: Program Requirements, attachment 2: Final Business Case Analysis Report, attachment 3: Implementation Strategy and Planning;
- Updated enterprise architecture products and amendments;
- Exhibit 300 program baseline scoring results;
- Recommended authority for the in-service and production decisions.

**New Content: Acquisition Management Policy:  
Section 2.4.4.1 : Entrance Criteria**

The following are required at the final investment decision:

- Final program requirements document;
- Final business case analysis report;
- Implementation strategy and planning document;
- Acquisition program baseline;
- Updated enterprise architecture products and amendments;
- Exhibit 300 and scoring results for designated programs;
- Recommended authority for the product demonstration and production decisions (if required) and the in-service decision.

**Red Line Content: Acquisition Management Policy:  
Section 2.4.4.1 : Entrance Criteria**

The primary outcome of solution implementation is a fully deployed and supported operational capability that satisfies requirements, is accepted by users, is compatible with other products and services in the field, and realizes the benefits in the ~~Exhibit 300 Program~~ **final business case Baseline analysis report**. The following are typical products of solution implementation that support the fielding of a satisfactory operational capability:

- Annual updates of the OMB Exhibit 300 for designated programs;
- Continuous evaluation of progress against targets in the ~~Exhibit 300~~ **acquisition Program Baseline program baseline**;
- Contracts that achieve investment objectives (i.e., ~~value~~ **cost**, ~~benefits~~ **schedule**, ~~capability~~ **performance, and benefits**);
- Successful operational test and evaluation;
- Successful IOT&E and IOT&E report for designated programs;
- In-service decision, including the ~~In-Service~~ **service Decision decision** (ISD) briefing and action plan;
- Declaration of operational readiness and commissioning- at each site;
- Program reviews and reports (e.g., baseline management, variance tracking; financial, schedule, performance; earned value, logistics measures, and risk management); and
- Service-level review reports.

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### **Section 2.5.2 : Outputs and Products**

**Old Content:** Acquisition Management Policy:

#### **Section 2.5.2 : Outputs and Products**

The primary outcome of solution implementation is a fully deployed and supported operational capability that satisfies requirements, is accepted by users, is compatible with other products and services in the field, and realizes the benefits in the Exhibit 300 Program Baseline. The following are typical products of solution implementation that support the fielding of a satisfactory operational capability:

- Annual updates of the OMB Exhibit 300 for designated programs;
- Continuous evaluation of progress against targets in the Exhibit 300 Program Baseline;
- Contracts that achieve investment objectives (i.e., value, benefits, capability);
- Successful operational test and evaluation;
- Successful IOT&E and IOT&E report for designated programs;
- In-service decision, including the In-Service Decision (ISD) briefing and action plan;
- Declaration of operational readiness and commissioning at each site;
- Program reviews and reports (e.g., baseline management, variance tracking; financial, schedule, performance; earned value, logistics measures, and risk management); and
- Service-level review reports.

**New Content:** Acquisition Management Policy:

#### **Section 2.5.2 : Outputs and Products**

The primary outcome of solution implementation is a fully deployed and supported operational capability that satisfies requirements, is accepted by users, is compatible with other products and services in the field, and realizes the benefits in the final business case analysis report. The following are typical products of solution implementation that support the fielding of a satisfactory operational capability:

- Annual updates of the OMB Exhibit 300 for designated programs;
- Continuous evaluation of progress against targets in the acquisition program baseline;
- Contracts that achieve investment objectives (i.e., cost, schedule, performance, and benefits);
- Successful operational test and evaluation;
- Successful IOT&E and IOT&E report for designated programs;
- In-service decision, including the in-service decision (ISD) briefing and action plan;
- Declaration of operational readiness and commissioning at each site;
- Program reviews and reports (e.g., baseline management, variance tracking; financial, schedule, performance; earned value, logistics measures, and risk management); and
- Service-level review reports.

**Red Line Content: Acquisition Management Policy:  
Section 2.5.2 : Outputs and Products**

The ~~Joint~~investment decision authority Resources (see Council Table 1.2.5-1) approves, disapproves, or modifies the recommendations in the final investment decision package. If the ~~Joint Resources Council~~investment decision authority disapproves the recommendations, it returns the investment package with specific instructions for further work or terminates the effort. If the ~~Joint~~investment Resources Council decision authority accepts the recommendations, it:

- Approves the investment program phase-segment for implementation and delegates responsibility to the appropriate service organization;
- Approves the ~~Exhibit 300~~final requirements ~~program~~document, ~~baseline and its attachments~~final business case analysis ~~for report, program and implementation execution~~strategy and ~~variance~~planning ~~tracking~~document;
- Approves ~~any~~the necessary changes to the enterprise architecture acquisition program baseline for variance tracking;
- Commits the FAA to funding of the program phase-segment, as specified in the ~~Exhibit 300~~acquisition program baseline;
- ~~Identifies future corporate decisions and levels of delegation~~; Approves adjustments to FAA plans and budgets to reflect the investment decision;
- Designates the product demonstration and production (if applicable) decision authority and the in-service decision authority.

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**Section 2.6 : In-Service Decision**

**Old Content: Acquisition Management Policy:  
Section 2.6 : In-Service Decision**

The in-service decision authorizes deployment of a solution into the operational environment. It occurs after demonstration of initial operational capability at the key test site. The decision establishes the foundation for operational readiness to be declared at key site and subsequent sites following completion of joint acceptance and inspection by the operating service organization and certification of compliance with information security requirements. The in-service decision is based on thorough testing to verify performance and operational readiness. The in-service review checklist is used by the service organization to identify and resolve readiness issues before the in-service decision.

The Joint Resources Council designates the in-service decision authority at the final investment decision. If the JRC retains the in-service decision, the Acquisition Executive is the chairperson at the decision meeting. The JRC may delegate in-service decision authority to other FAA officials, specifically to the Chief Operating Officer for NAS systems under the purview of the Air Traffic Organization. The Chief Operating Officer may re-delegate decision authority to the appropriate service unit Vice President after obtaining JRC approval.

The in-service decision is recorded in the record of decision. An ISD action plan to resolve remaining operational readiness issues is an attachment to the record of decision. Status of the ISD action plan is tracked and reported at service-level reviews until all issues are resolved.

**New Content:** Acquisition Management Policy:  
**Section 2.6 : In-Service Decision**

The in-service decision authorizes deployment of a solution into the operational environment. It occurs after demonstration of initial operational capability at the key test site. The decision establishes the foundation for operational readiness to be declared at key site and subsequent sites following completion of joint acceptance and inspection by the operating service organization and certification of compliance with information security requirements. The in-service decision is based on thorough testing to verify performance and operational readiness. The in-service review checklist is used by the service organization to identify and resolve readiness issues before the in-service decision.

The investment decision authority designates the in-service decision authority at the final investment decision. If the JRC retains the in-service decision, the Acquisition Executive is the chairperson at the decision meeting. The investment decision authority may delegate in-service decision authority to other FAA officials.

The in-service decision is recorded in the record of decision. An ISD action plan to resolve remaining operational readiness issues is an attachment to the record of decision. Status of the ISD action plan is tracked and reported at service-level reviews until all issues are resolved.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.6 : In-Service Decision**

The service organization ~~manages~~ all activities necessary to plan, obtain, and deploy the solution. This includes the award and management of contracts, continuing review and evaluation of progress relative to plan, and corrective action to achieve cost, schedule, ~~performance~~, and ~~benefit~~performance targets in the ~~Exhibit 300~~acquisition program baseline. Service organizations also manage all issues and actions necessary for the in-service decision, and update program planning to address how the newly fielded capability will be sustained throughout its service life. The integrated logistics management team ensures implementation of the logistics solution.

The operating service organization conducts joint acceptance and inspection at each site, declares operational readiness, and commissions the solution into operational use.

Authorized representatives of key stakeholder organizations work with the service organization throughout solution implementation to resolve all issues and enter into binding agreements to achieve the costs, schedule, performance, and benefits projected for the investment program. They provide the service organization and ISD authority with all issues and concerns identified during solution implementation up to and including the in-service decision.

For programs designated for independent operational test and evaluation, the Vice President of the service organization notifies the ATO Vice President for Safety Services when the product is ready for independent operational assessment via the IOT&E readiness declaration. The Director of IOT&E evaluates operational readiness of the product and reports findings to the in-service decision authority.

The Information Technology Executive Board annually reviews OMB Exhibit 300s for designated programs as part of the annual budget process. During this process, the AIO Value Management Office independently scores all OMB Exhibit 300s that will be submitted to the Office of Management and Budget through the Office of the Secretary of Transportation. The objective is to obtain a passing score from the Office of Management and Budget on all submitted OMB Exhibit 300s.

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### **Section 2.6 : In-Service Decision**

**Old Content:** Acquisition Management Policy:

#### **Section 2.6 : In-Service Decision**

The in-service decision authorizes deployment of a solution into the operational environment. It occurs after demonstration of initial operational capability at the key test site. The decision establishes the foundation for operational readiness to be declared at key site and subsequent sites following completion of joint acceptance and inspection by the operating service organization and certification of compliance with information security requirements. The in-service decision is based on thorough testing to verify performance and operational readiness. The in-service review checklist is used by the service organization to identify and resolve readiness issues before the in-service decision.

The Joint Resources Council designates the in-service decision authority at the final investment decision. If the JRC retains the in-service decision, the Acquisition Executive is the chairperson at the decision meeting. The JRC may delegate in-service decision authority to other FAA officials, specifically to the Chief Operating Officer for NAS systems under the purview of the Air Traffic Organization. The Chief Operating Officer may re-delegate decision authority to the appropriate service unit Vice President after obtaining JRC approval.

The in-service decision is recorded in the record of decision. An ISD action plan to resolve remaining operational readiness issues is an attachment to the record of decision. Status of the ISD action plan is tracked and reported at service-level reviews until all issues are resolved.

**New Content:** Acquisition Management Policy:

#### **Section 2.6 : In-Service Decision**

The in-service decision authorizes deployment of a solution into the operational environment. It occurs after demonstration of initial operational capability at the key test site. The decision establishes the foundation for operational readiness to be declared at key site and subsequent sites following completion of joint acceptance and inspection by the operating service

organization and certification of compliance with information security requirements. The in-service decision is based on thorough testing to verify performance and operational readiness. The in-service review checklist is used by the service organization to identify and resolve readiness issues before the in-service decision.

The investment decision authority designates the in-service decision authority at the final investment decision. If the JRC retains the in-service decision, the Acquisition Executive is the chairperson at the decision meeting. The investment decision authority may delegate in-service decision authority to other FAA officials.

The in-service decision is recorded in the record of decision. An ISD action plan to resolve remaining operational readiness issues is an attachment to the record of decision. Status of the ISD action plan is tracked and reported at service-level reviews until all issues are resolved.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.6 : In-Service Decision**

The in-service decision authorizes deployment of a solution into the operational environment. It occurs after demonstration of initial operational capability at the key test site. The decision establishes the foundation for operational readiness to be declared at key site and subsequent sites following completion of joint acceptance and inspection by the operating service organization and certification of compliance with information security requirements. The in-service decision is based on thorough testing to verify performance and operational readiness. The in-service review checklist is used by the service organization to identify and resolve readiness issues before the in-service decision.

The ~~Joint Resources~~ investment Council decision authority designates the in-service decision authority at the final investment decision. If the JRC retains the in-service decision, the Acquisition Executive is the chairperson at the decision meeting. The JRC may delegate in-service decision authority to other FAA officials, specifically to the Chief Operating Officer for NAS systems under the purview of the Air Traffic Organization. The Chief Operating Officer may re-delegate decision authority to the appropriate service unit Vice President after obtaining JRC approval.

The in-service decision is recorded in the record of decision. An ISD action plan to resolve remaining operational readiness issues is an attachment to the record of decision. Status of the ISD action plan is tracked and reported at service-level reviews until all issues are resolved.

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**Section 2.6.2 : Entrance Criteria**

**Old Content:** Acquisition Management Policy:

**Section 2.6.2 : Entrance Criteria**

The following are required for the in-service decision:

- Operational test report(s);
- IOT&E report for designated programs;
- ISR checklist completed;
- Safety risk management document or system safety assessment report approved;
- Information security certification and authorization;
- Stakeholder concurrence on readiness for the in-service decision;
- ISD briefing and action plan.

**New Content:** Acquisition Management Policy:  
**Section 2.6.2 : Entrance Criteria**

The following are required for the in-service decision:

- Operational test report(s);
- IOT&E report for designated programs;
- ISR checklist completed;
- Safety risk management document or system safety assessment report approved;
- Information security certification and authorization;
- Stakeholder concurrence on readiness for the in-service decision; and
- ISD briefing and action plan.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.6.2 : Entrance Criteria**

The following are required for the in-service decision:

- Operational test report(s);
- IOT&E report for designated programs;
- ISR checklist completed;
- Safety risk management document or system safety assessment report approved;
- Information security certification and authorization;
- Stakeholder concurrence on readiness for the in-service decision; and
- ISD briefing and action plan.

**Section 2.6.2 : In-Service Decision Authority Actions**

**Old Content:** Acquisition Management Policy:  
**Section 2.6.2 : In-Service Decision Authority Actions**

The in-service decision authority:

- Makes the in-service decision;
- Approves the ISD record of decision;
- Approves the ISD action plan.

**New Content:** Acquisition Management Policy:  
**Section 2.6.2 : In-Service Decision Authority Actions**

The in-service decision authority:

- Makes the in-service decision;
- Approves the ISD record of decision; and
- Approves the ISD action plan.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.6.2 : In-Service Decision Authority Actions**

The in-service decision authority:

- Makes the in-service decision;
- Approves the ISD record of decision; *and*
- Approves the ISD action plan.

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**Section 2.7 : In-Service Management**

**Old Content:** Acquisition Management Policy:  
**Section 2.7 : In-Service Management**

Activity during in-service management supports execution of the FAA mission of providing air traffic control and other services. This entails operating, maintaining, securing, and sustaining systems, products, services, and facilities in real time to provide the level of service required by users and customers. It also entails periodic monitoring and evaluation of fielded products and services, and feedback of performance data into mission and investment analysis as the basis for revalidating the need to sustain deployed assets or taking other action to improve service delivery.

Service organizations are responsible and accountable for managing service delivery within their area of responsibility throughout in-service management. They bring together the multiple engineering, logistics, and other management specialists necessary to operate and sustain fielded systems, services, products, and facilities within costs as specified in the approved Exhibit 300 program baselines of investment assets under their management. This includes managing resources within specific geographic areas, and may involve emergency sustainment actions in response to natural disasters or other unanticipated events.

Service organizations have flexibility to sustain and enhance fielded capability. They may implement pre-planned product improvements or block upgrades as stipulated at the investment decision, and may use sustainment resources within approved Exhibit 300 program baselines to upgrade components of fielded products as needed (e.g., printers or processors).

Implementation Strategy and Planning documents for programs during in-service management focus on actions and activities that support continued operation and maintenance of deployed assets. The documents clearly define in-service management activities, such as configuration management, preventive and corrective maintenance, training, infrastructure support and logistics support, along with planned activities to support post implementation reviews and operational analyses.

Service organizations evaluate on a continuing basis the safety, efficiency, and effectiveness of operational assets as a basis for improving service delivery over time. This process begins with a post implementation review at one or more early operational sites to determine whether a new investment program is achieving its performance and benefit targets and whether it is meeting the service needs of customers. The primary objective is useful information on how best to eliminate flaws and optimize performance and benefits before deployment at additional sites. This evaluation process continues throughout in-service management with the periodic evaluation of operational assets to determine whether they are continuing to contribute to agency safety, performance, and cost goals or whether they should be modernized, replaced, or removed from service. These operational analyses are the basis for out-year planning in the service organization business plan, which integrates ongoing and planned investment activity with resources for the operation and sustainment of fielded assets over their service life. The overarching goal is the continued best use of agency resources to achieve FAA strategic and performance goals. Click [here](#) for links to post implementation review policy and guidance for links to operational analysis policy and guidance.

When a fielded capability is projected to be unable to satisfy service demand or when another solution offers improved safety, lower cost, or higher performance, the service organization initiates action to enter the investment analysis process leading to a new investment decision. The key is to look far enough into the future so there is enough time to approve and implement a solution *before* the existing capability fails.

Service organizations may not take any action that would breach an approved Exhibit 300 program baseline under their management by more than 10 percent. When service delivery goals cannot be achieved within an approved baseline, the service organization takes such action as:

- Request a rebaseline decision to change an approved Exhibit 300 program baseline;
- Start mission and investment analysis leading to a new investment decision or other action to solve a service problem;
- Request an investment decision to decommission unsupportable or poorly performing assets.

Service organizations must remove and dispose of fielded assets and services when they are no longer needed. This includes restoration of sites where obsolete products or services were deployed, disposal of government property, recovery of precious metals, and cannibalization of useful assets. The cost of removal and restoration is included in the Exhibit 300 program baseline of the *replacement program*. If there is no replacement program, the cost must be otherwise factored into the service-area operating plan.

**New Content: Acquisition Management Policy:  
Section 2.7 : In-Service Management**

Activity during in-service management supports execution of the FAA mission of providing air traffic control and other services. This entails operating, maintaining, securing, and sustaining systems, products, services, and facilities in real time to provide the level of service required by users and customers. It also entails periodic monitoring and evaluation of fielded products and services, and feedback of performance data into mission and investment analysis as the basis for revalidating the need to sustain deployed assets or taking other action to improve service delivery.

Service organizations are responsible and accountable for managing service delivery within their area of responsibility throughout in-service management. They bring together the multiple engineering, logistics, and other management specialists necessary to operate and sustain fielded systems, services, products, and facilities. This includes managing resources within specific geographic areas, and may involve emergency sustainment actions in response to natural disasters or other unanticipated events.

Service organizations have flexibility to sustain and enhance fielded capability. They may implement pre-planned product improvements or block upgrades as stipulated at the investment decision, and may use sustainment resources to upgrade components of fielded products as needed (e.g., printers or processors).

In-service management planning documents focus on actions and activities that support continued operation and maintenance of deployed assets. The documents clearly define in-service management activities, such as configuration management, preventive and corrective maintenance, training, infrastructure support and logistics support, along with planned activities to support post implementation reviews and operational analyses.

Service organizations evaluate on a continuing basis the safety, efficiency, and effectiveness of operational assets as a basis for improving service delivery over time. This process begins with a post implementation review at one or more early operational sites to determine whether a new investment program is achieving its performance and benefit targets and whether it is meeting the service needs of customers. The primary objective is useful information on how best to eliminate flaws and optimize performance and benefits before deployment at additional sites. This evaluation process continues throughout in-service management with the periodic evaluation of operational assets to determine whether they are continuing to contribute to agency safety, performance, and cost goals or whether they should be modernized, replaced, or removed from service. These operational analyses are the basis for out-year planning in the service organization business plan, which integrates ongoing and planned investment activity with resources for the operation and sustainment of fielded assets over their service life. The overarching goal is the continued best use of agency resources to achieve FAA strategic and performance goals. Click here for links to [post implementation review and operational analysis policy and guidance](#).

When a fielded capability is projected to be unable to satisfy service demand or when another solution offers improved safety, lower cost, or higher performance, the service organization initiates action to enter the investment analysis process leading to a new investment decision. The key is to look far enough into the future so there is enough time to approve and implement a solution before the existing capability fails.

Service organizations must remove and dispose of fielded assets and services when they are no longer needed. This includes restoration of sites where obsolete products or services were deployed, disposal of government property, recovery of precious metals, and cannibalization of useful assets. The cost of removal and restoration is included in the acquisition program baseline of the replacement program. If there is no replacement program, the cost must be otherwise factored into the service-area operating plan.

**Red Line Content: Acquisition Management Policy:  
Section 2.7 : In-Service Management**

Activity during in-service management supports execution of the FAA mission of providing air traffic control and other services. This entails operating, maintaining, securing, and sustaining systems, products, services, and facilities in real time to provide the level of service required by users and customers. It also entails periodic monitoring and evaluation of fielded products and services, and feedback of performance data into mission and investment analysis as the basis for revalidating the need to sustain deployed assets or taking other action to improve service delivery. ~~Service~~

~~Service~~ organizations are responsible and accountable for managing service delivery within their area of responsibility throughout in-service management. They bring together the multiple engineering, logistics, and other management specialists necessary to operate and sustain fielded systems, services, products, and facilities ~~within costs as specified in the approved Exhibit 300 program baselines of investment assets under their management.~~ This includes managing resources within specific geographic areas, and may involve emergency sustainment actions in response to natural disasters or other unanticipated events.

Service organizations have flexibility to sustain and enhance fielded capability. They may implement pre-planned product improvements or block upgrades as stipulated at the investment decision, and may use sustainment resources ~~within approved Exhibit 300 program baselines~~ to upgrade components of fielded products as needed (e.g., printers or processors). ~~Implementation Strategy and Planning documents for programs during in~~

~~In~~-service management planning documents focus on actions and activities that support continued operation and maintenance of deployed assets. The documents clearly define in-service management activities, such as configuration management, preventive and corrective maintenance, training, infrastructure support and logistics support, along with planned activities to support post implementation reviews and operational analyses.

Service organizations evaluate on a continuing basis the safety, efficiency, and effectiveness of operational assets as a basis for improving service delivery over time. This process begins with a post implementation review at one or more early operational sites to determine whether a new investment program is achieving its performance and benefit targets and whether it is meeting

the service needs of customers. The primary objective is useful information on how best to eliminate flaws and optimize performance and benefits before deployment at additional sites. This evaluation process continues throughout in-service management with the periodic evaluation of operational assets to determine whether they are continuing to contribute to agency safety, performance, and cost goals or whether they should be modernized, replaced, or removed from service. These operational analyses are the basis for out-year planning in the service organization- business plan, which integrates ongoing and planned investment activity with resources for the operation and sustainment of- fielded assets over their service life.- The- overarching goal is the continued best use of agency resources to achieve FAA strategic and performance goals.- Click- here- for links to- [post implementation review policy and guidance for links to operational analysis policy and guidance.](#)

When a fielded capability is projected to be unable to satisfy- service demand- or when another solution offers improved safety, lower cost, or- higher performance, the service organization- initiates action to enter the investment analysis process leading to a new investment decision. The key is to look far enough into the future so there is enough time to approve and implement a solution before the existing capability fails. ~~Service organizations may not take any action that would breach an approved Exhibit 300 program baseline under their management by more than 10 percent. When service delivery goals cannot be achieved within an approved baseline, the service organization takes such action as: Request a rebaseline decision to change an approved Exhibit 300 program baseline; Start mission and investment analysis leading to a new investment decision or other action to solve a service problem; Request an investment decision to decommission unsupportable or poorly performing assets. Service organizations~~ must remove and dispose of fielded assets and services when they are no longer needed. This includes restoration of sites where obsolete products or services were deployed, disposal of government property, recovery of precious metals, and- cannibalization of useful assets. The cost of removal and restoration is included in the ~~Exhibit 300~~ **acquisition** program baseline of the replacement program. If there is no replacement program, the cost- must be otherwise factored into the service-area operating plan.

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### **Section 2.7.1 : What Must Be Done**

**Old Content:** Acquisition Management Policy:

#### **Section 2.7.1 : What Must Be Done**

- **Deliver air traffic control and other business services.** This is done using infrastructure, procedures, personnel, and other assets as assigned and funded.
- **Sustain services within baseline values.** Management and engineering actions throughout in-service management sustain and improve service delivery, correct deviations from cost and performance standards, and improve quality. These actions include modifications to hardware and software to solve latent or discovered technical problems, process changes to improve performance, planned block upgrades and product improvements, and sustainment actions that lower operating costs. It involves the

management of personnel, information systems, money, logistics support, spare parts, technical resources, and other assigned assets. Management techniques include fiscal and workforce planning, contract award and administration, fiscal and program control, and process management to achieve cost, performance, and benefit objectives. All modifications to fielded assets must be in accordance with the enterprise architecture. If a planned modification requires a change to the architecture, appropriate amendments and products must be developed and approved.

- **Evaluate performance against baseline values and customer expectations.** Post implementation review(s) at deployment sites help to determine whether performance and benefits in the Exhibit 300 program baseline are being achieved. When projections are not being realized, corrective action is planned and implemented. Periodic operational evaluations of fielded assets continue throughout in-service management to identify performance shortfalls, determine trends in the cost of ownership, identify adverse support trends, and solve systemic operational or support problems in the service environment. These evaluations are the basis for revalidating the merit of sustaining investment assets or the need for other action. Findings are fed back into service analysis, where it is determined whether to continue to sustain existing assets or recommend new investments to solve systemic operational problems in the service environment.
- **Recommend baseline changes or new investment opportunities.** When cost, schedule, performance, or benefits are projected to breach an approved Exhibit 300 program baseline by more than 10 percent, the service organization must notify the Joint Resources Council and present a corrective action plan that specifies what actions will be taken to correct a variance.
- **Prioritize opportunities for operational funding.** Service organizations participate in cross-organizational planning to review, integrate, and prioritize the allocation of operational resources to fielded services and assets. This objective is to continue support for high-ranking service needs and reduce or terminate support for low-value or redundant assets. Recommendations are presented to the Joint Resources Council for approval.
- **Support service delivery.** This includes corrective and preventive maintenance, supply support, second-level engineering, depot-level repair, modification of hardware and software to improve performance, test and support equipment, and transportation of supplies.
- **Sustain in-service support.** Any modification to fielded assets (e.g., block upgrade, planned product improvement, problem correction) must be accompanied by concomitant changes to key elements of the support infrastructure such as training, documentation, spare parts, and engineering support. This includes development, attrition, and refresher training for personnel who directly operate, maintain, or provide support functions.
- **Update the OMB Exhibit 300 for the annual budget cycle.** Annual updates reflect program changes and move the budget submission forward one year. The OMB Exhibit 300 must continue to achieve a passing score from the Office of Management and Budget.
- **Update the Implementation Strategy and Planning document.** Service organizations review the Implementation Strategy and Planning document annually and update it as needed.

- **Execute emergency sustainment actions.** This includes planning for contingency and emergency responses. Highest priority services are sustained even if performance goals for lower priority services cannot be met.
- **Maintain physical, personnel, and information security at all FAA facilities.** This includes environmental threat and facility assessment and accreditation in accordance with FAA internal security planning.
- **Sustain the physical infrastructure.** Resources are planned and allocated to sustain utilities, buildings, grounds, structures, roads, telecommunications, handling of hazardous materials, lightning protection, bonding, grounding, heating, cooling, and special access.
- **Acquire, manage, and dispose of property.** This applies to FAA-owned and leased properties, as well as to non-federal facilities with external sponsors. This activity may involve the purchase or lease of buildings, structures, and grounds, as well as removal and disposal of no longer used equipment, systems, services, products, facilities, real property, and resources. Removal and disposal includes decommissioning, dismantling, and demolishing of systems and equipment; restoring sites including environmental cleanup and disposal of hazardous materials; disposing of government property; recovering precious metals; and reusing surplus assets.
- **Manage and control configuration of all services and service components.** This includes the submission of NAS change proposals to the appropriate approval board to baseline, install, and manage changes to NAS systems, software, and equipment. Coordination with the appropriate systems engineering organization is necessary to ensure changes are compatible with and reflected in the enterprise architecture.
- **Sustain flight inspections, aircraft certification, and regulatory requirements.** This pertains to all safety-related quality assurance actions, including establishing safety standards for operations, monitoring safety performance, issuing and maintaining certificates and licenses, and developing and revalidating procedures such as approach and landing procedures.

**New Content:** Acquisition Management Policy:

### **Section 2.7.1 : What Must Be Done**

- **Deliver air traffic control and other business services.** This is done using infrastructure, procedures, personnel, and other assets as assigned and funded.
- **Sustain services within baseline values.** Management and engineering actions throughout in-service management sustain and improve service delivery, correct deviations from cost and performance standards, and improve quality. These actions include modifications to hardware and software to solve latent or discovered technical problems, process changes to improve performance, planned block upgrades and product improvements, and sustainment actions that lower operating costs. It involves the management of personnel, information systems, money, logistics support, spare parts, technical resources, and other assigned assets. Management techniques include fiscal and workforce planning, contract award and administration, fiscal and program control, and process management to achieve cost, performance, and benefit objectives. All modifications to fielded assets must be in accordance with the enterprise architecture. If a planned modification requires a change to the architecture, appropriate amendments and products must be developed and approved.

- **Evaluate performance and customer expectations.** Post implementation review(s) at deployment sites help to determine whether performance and benefits are being achieved. When projections are not being realized, corrective action is planned and implemented. Periodic operational evaluations of fielded assets continue throughout in-service management to identify performance shortfalls, determine trends in the cost of ownership, identify adverse support trends, and solve systemic operational or support problems. These evaluations are the basis for revalidating the merit of sustaining investment assets or the need for other action. Findings are fed back into service analysis, where it is determined whether to continue to sustain existing assets or recommend new investments to solve systemic operational problems in the service environment.
- **Prioritize opportunities for operational funding.** Service organizations participate in cross-organizational planning to review, integrate, and prioritize the allocation of operational resources to fielded services and assets. This objective is to continue support for high-ranking service needs and reduce or terminate support for low-value or redundant assets. Recommendations are presented to the Joint Resources Council for approval.
- **Support service delivery.** This includes corrective and preventive maintenance, supply support, second-level engineering, depot-level repair, modification of hardware and software to improve performance, test and support equipment, and transportation of supplies.
- **Sustain in-service support.** Any modification to fielded assets (e.g., block upgrade, planned product improvement, problem correction) must be accompanied by concomitant changes to key elements of the support infrastructure such as training, documentation, spare parts, and engineering support. This includes development, attrition, and refresher training for personnel who directly operate, maintain, or provide support functions.
- **Update the OMB Exhibit 300 for annual budget cycle (designated programs only).** Annual updates reflect program changes and move the budget submission forward one year. The OMB Exhibit 300 must continue to achieve a passing score from the Office of Management and Budget.
- **Update in-service management planning documents.** Service organizations review and update in-service planning documents as needed.
- **Execute emergency sustainment actions.** This includes planning for contingency and emergency responses. Highest priority services are sustained even if performance goals for lower priority services cannot be met.
- **Maintain physical, personnel, and information security at all FAA facilities.** This includes environmental threat and facility assessment and accreditation in accordance with FAA internal security planning.
- **Sustain the physical infrastructure.** Resources are planned and allocated to sustain utilities, buildings, grounds, structures, roads, telecommunications, handling of hazardous materials, lightning protection, bonding, grounding, heating, cooling, and special access.
- **Acquire, manage, and dispose of property.** This applies to FAA-owned and leased properties, as well as to non-federal facilities with external sponsors. This activity may involve the purchase or lease of buildings, structures, and grounds, as well as removal and disposal of no longer used equipment, systems, services, products, facilities, real property, and resources. Removal and disposal includes decommissioning, dismantling, and demolishing of systems and equipment; restoring sites including environmental

cleanup and disposal of hazardous materials; disposing of government property; recovering precious metals; and reusing surplus assets.

- **Manage and control configuration of all services and service components.** This includes the submission of NAS change proposals to the appropriate approval board to baseline, install, and manage changes to NAS systems, software, and equipment. Coordination with the appropriate systems engineering organization is necessary to ensure changes are compatible with and reflected in the enterprise architecture.
- **Sustain flight inspections, aircraft certification, and regulatory requirements.** This pertains to all safety-related quality assurance actions, including establishing safety standards for operations, monitoring safety performance, issuing and maintaining certificates and licenses, and developing and revalidating procedures such as approach and landing procedures.

**Red Line Content: Acquisition Management Policy:  
Section 2.7.1 : What Must Be Done**

**Deliver air traffic control and other business services.** This is done using infrastructure, procedures, personnel, and other assets as assigned and funded.

- **Sustain services within baseline values.** Management and engineering actions throughout in-service management sustain and improve service delivery, correct deviations from cost and performance standards, and improve quality. These actions include modifications to hardware and software to solve latent or discovered technical problems, process changes to improve performance, planned block upgrades and product improvements, and sustainment actions that lower operating costs. It involves the management of personnel, information systems, money, logistics support, spare parts, technical resources, and other assigned assets. Management techniques include fiscal and workforce planning, contract award and administration, fiscal and program control, and process management to achieve cost, performance, and benefit objectives. All modifications to fielded assets must be in accordance with the enterprise architecture. If a planned modification requires a change to the architecture, appropriate amendments and products must be developed and approved.
- **Evaluate performance ~~against baseline values~~ and customer expectations.** Post implementation review(s) at deployment sites help to determine whether performance ~~and benefits~~~~in the Exhibit 300 program baseline~~ are being achieved. When projections are not being realized, corrective action is planned and implemented. Periodic operational evaluations of fielded assets continue throughout in-service management to identify performance shortfalls, determine trends in the cost of ownership, identify adverse support trends, and solve systemic operational or support problems~~in the service environment~~. These evaluations are the basis for revalidating the merit of sustaining investment assets or the need for other action. Findings are fed back into service analysis, where it is determined whether to continue to sustain existing assets or recommend new investments to solve systemic operational problems in the service environment. ~~Recommend baseline changes or new investment opportunities. When cost, schedule, performance, or benefits are projected to breach an approved Exhibit 300 program baseline by more than 10 percent, the service organization~~

~~must notify the Joint Resources Council and present a corrective action plan that specifies what actions will be taken to correct a variance.~~

- **Prioritize opportunities for operational funding.** Service organizations participate in cross-organizational planning to review, integrate, and prioritize the allocation of operational resources to fielded services and assets. This objective is to continue support for high-ranking service needs and reduce or terminate support for low-value or redundant assets. Recommendations are presented to the Joint Resources Council for approval.
- **Support service delivery.** This includes corrective and preventive maintenance, supply support, second-level engineering, depot-level repair, modification of hardware and software to improve performance, test and support equipment, and transportation of supplies.
- **Sustain in-service support.** Any modification to fielded assets (e.g., block upgrade, planned product improvement, problem correction) must be accompanied by concomitant changes to key elements of the support infrastructure such as training, documentation, spare parts, and engineering support. This includes development, attrition, and refresher training for personnel who directly operate, maintain, or provide support functions.
- **Update the OMB Exhibit 300 for the annual budget cycle (designated programs only).** Annual updates reflect program changes and move the budget submission forward one year. The OMB Exhibit 300 must continue to achieve a passing score from the Office of Management and Budget.
- **Update ~~the Implementation Strategy and Planning~~in-service document~~management planning documents~~.** Service organizations review ~~the Implementation Strategy and Planning document annually~~ and update in-service ~~planning documents~~ as needed.
- **Execute emergency sustainment actions.** This includes planning for contingency and emergency responses. Highest priority services are sustained even if performance goals for lower priority services cannot be met.
- **Maintain physical, personnel, and information security at all FAA facilities.** This includes environmental threat and facility assessment and accreditation in accordance with FAA internal security planning.
- **Sustain the physical infrastructure.** Resources are planned and allocated to sustain utilities, buildings, grounds, structures, roads, telecommunications, handling of hazardous materials, lightning protection, bonding, grounding, heating, cooling, and special access.
- **Acquire, manage, and dispose of property.** This applies to FAA-owned and leased properties, as well as to non-federal facilities with external sponsors. This activity may involve the purchase or lease of buildings, structures, and grounds, as well as removal and disposal of no longer used equipment, systems, services, products, facilities, real property, and resources. Removal and disposal includes decommissioning, dismantling, and demolishing of systems and equipment; restoring sites including environmental cleanup and disposal of hazardous materials; disposing of government property; recovering precious metals; and reusing surplus assets.
- **Manage and control configuration of all services and service components.** This includes the submission of NAS change proposals to the appropriate approval board to baseline, install, and manage changes to NAS systems, software, and equipment.

Coordination with the appropriate systems engineering organization is necessary to ensure changes are compatible with and reflected in the enterprise architecture.

- **Sustain flight inspections, aircraft certification, and regulatory requirements.** This pertains to all safety-related quality assurance actions, including establishing safety standards for operations, monitoring safety performance, issuing and maintaining certificates and licenses, and developing and revalidating procedures such as approach and landing procedures.

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### **Section 2.7.2 : Outputs and Products**

**Old Content:** Acquisition Management Policy:

#### **Section 2.7.2 : Outputs and Products**

- Delivery of FAA enterprise services;
- Post implementation reviews and corrective action as needed to achieve investment performance and benefits;
- Periodic operational analysis of fielded assets including the effectiveness and efficiency of supply chain management;
- Periodic revalidation of the need to sustain fielded investment resources;
- Enforcement actions, baseline changes, and investment recommendations to maintain or improve service delivery;
- Change proposals to install systems, software, and equipment and to improve capability, safety, or efficiency in accordance with the enterprise architecture;
- Program technical reports and hardware discrepancy reports to correct hardware and software problems;
- Annual OMB Exhibit 300 submissions;
- Emergency sustainment actions to sustain high priority capabilities and services;
- Up-to-date configuration records for fielded equipment;
- Annual report on critical operational needs;
- Periodic assessment of facility security enhancements;
- Actions plans to remedy Exhibit 300 program baseline variances;
- Updated Implementation Strategy and Planning documents if needed;
- Flight inspections, aircraft certification, and regulatory actions.

**New Content:** Acquisition Management Policy:

#### **Section 2.7.2 : Outputs and Products**

Delivery of FAA enterprise services;

- Post implementation reviews and corrective action as needed to achieve investment performance and benefits;
- Periodic operational analysis of fielded assets including the effectiveness and efficiency of supply chain management;
- Periodic revalidation of the need to sustain fielded investment resources;

- Enforcement actions, baseline changes, and investment recommendations to maintain or improve service delivery;
- Change proposals to install systems, software, and equipment and to improve capability, safety, or efficiency in accordance with the enterprise architecture;
- Program technical reports and hardware discrepancy reports to correct hardware and software problems;
- Annual OMB Exhibit 300 submissions (designated programs only);
- Emergency sustainment actions to sustain high priority capabilities and services;
- Up-to-date configuration records for fielded equipment;
- Annual report on critical operational needs;
- Periodic assessment of facility security enhancements;
- Action plans to remedy cost and performance shortfalls;
- Updated in-service management planning documents if needed;
- Flight inspections, aircraft certification, and regulatory actions.

**Red Line Content:** Acquisition Management Policy:

### **Section 2.7.2 : Outputs and Products**

- Delivery of FAA enterprise services;
- Post implementation reviews and corrective action as needed to achieve investment performance and benefits;
- Periodic operational analysis of fielded assets including the effectiveness and efficiency of supply chain management;
- Periodic revalidation of the need to sustain fielded investment resources;
- Enforcement actions, baseline changes, and investment recommendations to maintain or improve service delivery;
- Change proposals to install systems, software, and equipment and to improve capability, safety, or efficiency in accordance with the enterprise architecture;
- Program technical reports and hardware discrepancy reports to correct hardware and software problems;
- Annual OMB Exhibit 300 submissions *(designated programs only)*;
- Emergency sustainment actions to sustain high priority capabilities and services;
- Up-to-date configuration records for fielded equipment;
- Annual report on critical operational needs;
- Periodic assessment of facility security enhancements;
- Actions plans to remedy ~~Exhibit 300~~*cost program baseline variances and performance shortfalls*;
- Updated ~~Implementation Strategy and~~ *in-service Planning management planning* documents if needed;
- Flight inspections, aircraft certification, and regulatory actions.

### **Section 2.7.2 : Outputs and Products**

**Old Content:** Acquisition Management Policy:

### **Section 2.7.2 : Outputs and Products**

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- Delivery of FAA enterprise services;
- Post implementation reviews and corrective action as needed to achieve investment performance and benefits;
- Periodic operational analysis of fielded assets including the effectiveness and efficiency of supply chain management;
- Periodic revalidation of the need to sustain fielded investment resources;
- Enforcement actions, baseline changes, and investment recommendations to maintain or improve service delivery;
- Change proposals to install systems, software, and equipment and to improve capability, safety, or efficiency in accordance with the enterprise architecture;
- Program technical reports and hardware discrepancy reports to correct hardware and software problems;
- Annual OMB Exhibit 300 submissions;
- Emergency sustainment actions to sustain high priority capabilities and services;
- Up-to-date configuration records for fielded equipment;
- Annual report on critical operational needs;
- Periodic assessment of facility security enhancements;
- Actions plans to remedy Exhibit 300 program baseline variances;
- Updated Implementation Strategy and Planning documents if needed;
- Flight inspections, aircraft certification, and regulatory actions.

Delivery of FAA enterprise services;

- Post implementation reviews and corrective action as needed to achieve investment performance and benefits;
- Periodic operational analysis of fielded assets including the effectiveness and efficiency of supply chain management;
- Periodic revalidation of the need to sustain fielded investment resources;
- Enforcement actions, baseline changes, and investment recommendations to maintain or improve service delivery;
- Change proposals to install systems, software, and equipment and to improve capability, safety, or efficiency in accordance with the enterprise architecture;
- Program technical reports and hardware discrepancy reports to correct hardware and software problems;
- Annual OMB Exhibit 300 submissions (designated programs only);
- Emergency sustainment actions to sustain high priority capabilities and services;
- Up-to-date configuration records for fielded equipment;
- Annual report on critical operational needs;
- Periodic assessment of facility security enhancements;
- Action plans to remedy cost and performance shortfalls;
- Updated in-service management planning documents if needed;
- Flight inspections, aircraft certification, and regulatory actions.

'#0000FF'>and Planning **management planning** document to focus on in-service management activities and update as needed;

- Manage the configuration of fielded assets consistent with FAA policy and the enterprise architecture;
- Develop infrastructure for ~~modifications to fielded~~ including training, documentation, spare parts, and repair;
- Periodically assess customer satisfaction as the foundation for improving service delivery;
- Monitor quality, assess performance, track cost, and identify adverse support trends for fielded assets;
- Periodically revalidate the need to sustain fielded assets or recommend other action such as upgrade, replacement, or decommissioning and removal;
- ~~Develop business case and recommend research or technology opportunities for improving service delivery or reducing ownership costs;~~ Assess the impact on sustainment of fielded assets resulting from delays in fielding a new capability;
- Sustain the physical infrastructure.

#### AIO Value Management Office:

- Reviews and scores OMB Exhibit 300s as part of the annual budget cycle ~~Reviews and scores Exhibit 300 program baselines as part of the rebaseline~~ (designated request programs process only).

#### PIR Quality Officer:

- Oversees the quality, planning, conduct, and reporting of post implementation reviews; ~~Oversees the quality, conduct, and reporting of operational analyses.~~

#### Integrated Logistics Management Team:

- Assesses the effectiveness of supply chain management and the support concept; and
- Recommends changes to logistics management to optimize service delivery at best value.

#### **New Content: Acquisition Management Policy: Section 2.7.2 : Outputs and Products**

##### Delivery of FAA enterprise services;

- Post implementation reviews and corrective action as needed to achieve investment performance and benefits;
- Periodic operational analysis of fielded assets including the effectiveness and efficiency of supply chain management;
- Periodic revalidation of the need to sustain fielded investment resources;
- Enforcement actions, baseline changes, and investment recommendations to maintain or improve service delivery;

- Change proposals to install systems, software, and equipment and to improve capability, safety, or efficiency in accordance with the enterprise architecture;
- Program technical reports and hardware discrepancy reports to correct hardware and software problems;
- Annual OMB Exhibit 300 submissions (designated programs only);
- Emergency sustainment actions to sustain high priority capabilities and services;
- Up-to-date configuration records for fielded equipment;
- Annual report on critical operational needs;
- Periodic assessment of facility security enhancements;
- Action plans to remedy cost and performance shortfalls;
- Updated in-service management planning documents if needed;
- Flight inspections, aircraft certification, and regulatory actions.

**Red Line Content: Acquisition Management Policy:  
Section 2.7.2 : Outputs and Products**

Service organizations:

- Provide and sustain services;
- Manage resources ~~in the Exhibit 300 program baseline~~ to sustain fielded assets;
- Manage preplanned product improvements;
- Update OMB Exhibit 300s for the annual budget cycle (*designated programs only*);
- Review the ~~Implementation Strategy~~ *in-service and Planning management planning* document to focus on in-service management activities and update as needed;
- Manage the configuration of fielded assets consistent with FAA policy and the enterprise architecture;
- Develop infrastructure for ~~modifications to fielded assets, including training, documentation, spare parts, and repair;~~
- Periodically assess customer satisfaction as the foundation for improving service delivery;
- Monitor quality, assess performance, track cost, and identify adverse support trends for fielded assets;
- Periodically revalidate the need to sustain fielded assets or recommend other action such as upgrade, replacement, or decommissioning and removal;
- ~~Develop business case and recommend research or technology opportunities for improving service delivery or reducing ownership costs;~~ Assess the impact on sustainment of fielded assets resulting from delays in fielding a new capability;
- Sustain the physical infrastructure.

AIO Value Management Office:

- Reviews and scores OMB Exhibit 300s as part of the annual budget cycle ~~Reviews and scores Exhibit 300 program baselines as part of the rebaseline request~~ programs process ~~only~~.

PIR Quality Officer:

- Oversees the quality, planning, conduct, and reporting of post implementation reviews; ~~Oversees the quality, conduct, and reporting of operational analyses.~~

Integrated Logistics Management Team:

- Assesses the effectiveness of supply chain management and the support concept; and
- Recommends changes to logistics management to optimize service delivery at best value.

#### **Section 2.7.4 : Who Approves?**

**Old Content:** Acquisition Management Policy:

#### **Section 2.7.4 : Who Approves?**

Joint Resources Council:

- Approves changes to Exhibit 300 program baselines;
- Makes investment decisions to add, remove, or move resources among Exhibit 300 program baselines within the operating plan of each service organization.

The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB.

The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

The Vice President (ATO) or Director (non-ATO) of the service organization approves updates to the Implementation Strategy and Planning document and forwards the signed document to the JRC Executive Secretariat.

**New Content:** Acquisition Management Policy:

#### **Section 2.7.4 : Who Approves?**

The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB.

The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

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The Vice President (ATO) or Director (non-ATO) of the operating service organization approves updates to in-service management planning documents.

The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB.

The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

The Vice President (ATO) or Director (non-ATO) of the operating service organization approves updates to in-service management planning documents.

**Red Line Content:** Acquisition Management Policy:  
**Section 2.7.4 : Who Approves?**

~~Joint Resources Council: Approves changes to Exhibit 300 program baselines; Makes investment decisions to add, remove, or move resources among Exhibit 300 program baselines within the operating plan of each service organization.~~ The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB.

The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

The Vice President (ATO) or Director (non-ATO) of the *operating* service organization approves updates to ~~the Implementation Strategy and Planning document and forwards the signed document to the~~*in-service* JRC Executive Secretariat *management planning documents*.

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**Section 2.4.3.4 : Who Approves?**

**Old Content:** Acquisition Management Policy:  
**Section 2.4.3.4 : Who Approves?**

Joint Resources Council:

- Approves changes to Exhibit 300 program baselines;
- Makes investment decisions to add, remove, or move resources among Exhibit 300 program baselines within the operating plan of each service organization.

The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB.

The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

The Vice President (ATO) or Director (non-ATO) of the service organization approves updates to the Implementation Strategy and Planning document and forwards the signed document to the JRC Executive Secretariat.

**New Content:** Acquisition Management Policy:

**Section 2.4.3.4 : Who Approves?**

The Acquisition Executive, Chief Financial Officer, Chief Information Officer, Chief Operating Officer (ATO) or the Associate or Assistant Administrator of the line of business, and the ATO Senior Vice President for Finance sign the Exhibit 300 for designated programs. The investment decision authority approves the acquisition program baseline. Within the ATO, the Vice Presidents of the executing service organization and operating service organization approve the final program requirements document. In the other lines of business, the second-level executive of the executing service organization approve the program requirements document. The Vice President or Director of the executing service organization approves the business case analysis report. Within the ATO, the Senior Vice President for Operations and the Vice President of the executing service organization approve the implementation strategy and planning document. In the other lines of business, the second-level executive of the executing service organization approves the ISPD. For designated programs, the Director, Independent Operational Test and Evaluation, approves the test section. Stakeholder organizations approve specific planning sections per the ISPD template. The Chief Architect for the NAS enterprise architecture approves NAS architecture products and amendments delegated to the ITEB by the JRC.

**Red Line Content:** Acquisition Management Policy:

**Section 2.4.3.4 : Who Approves?**

~~Joint Resources Council: Approves changes to Exhibit 300 program baselines; Makes investment decisions to add, remove, or move resources among Exhibit 300 program baselines within the operating plan of each service organization.~~ The Chief Information Officer, Chief Financial Officer, and Acquisition Executive approve OMB Exhibit 300s for designated information technology capital investments before submission to OMB.

The Acquisition Executive and Chief Financial Officer approve OMB 300 Exhibits for designated non-information technology capital investments.

The Vice President (ATO) or Director (non-ATO) of the operating service organization approves updates to ~~the Implementation Strategy and Planning document and forwards the signed document to the~~in-service JRC Executive Secretariat management planning documents.

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**Appendix B: Acquisition Planning and Control Documents**

**Old Content:** Acquisition Management Policy:  
**Appendix B: Acquisition Planning and Control Documents**

This appendix contains the purpose, approval authority, distribution, and content for AMS planning and control documents. Templates are available for each document in FAST via the internet at <http://fast.faa.gov>.

The documents are:

- Exhibit 300 Program Baseline, including
- Attachment 1: Program Requirements
- Attachment 2: Business Case Analysis Report
- Attachment 3: Implementation Strategy and Planning

These documents are structured as an integrated set with clear progression and traceability from service-level mission need to requirements to implementation strategy to actions and work activities. Attachments to the Exhibit 300 program baseline supplement planning information and do not duplicate anything. Template instructions are comprehensive in scope to accommodate complex investment programs. They are tailored to be appropriate for each specific investment program.

**New Content:** Acquisition Management Policy:  
**Appendix B: Acquisition Planning and Control Documents**

This appendix contains the purpose, approval authority, distribution, and content for AMS planning and control documents. Templates are available for each document in FAST via the internet at <http://fast.faa.gov>.

The documents are:

- Acquisition program baseline
- Program requirements document
- Business case template
- Implementation strategy and planning document

These documents are structured as an integrated set with clear progression and traceability from service-level mission need to requirements to implementation strategy to actions and work activities. Template instructions are comprehensive in scope to accommodate complex investment programs. They are tailored to be appropriate for each specific investment program.

**Red Line Content:** Acquisition Management Policy:  
**Appendix B: Acquisition Planning and Control Documents**

This appendix contains the purpose, approval authority, distribution, and content for AMS planning and control documents. Templates are available for each document in FAST via the internet at <http://fast.faa.gov>.

The documents are:

- ~~Exhibit 300 Program Baseline~~ [Acquisition program including baseline](#)
- ~~Attachment 1: Program Requirements~~ [requirements document](#)
- ~~Attachment 2: Business Case Analysis Report~~ [case analysis report](#)
- ~~Attachment 3: Implementation Strategy~~ [strategy](#) and ~~Planning~~ [planning document](#)

These documents are structured as an integrated set with clear progression and traceability from service-level mission need to requirements to implementation strategy to actions and work activities. ~~Attachments to the Exhibit 300 program baseline supplement planning information and do not duplicate anything.~~ Template instructions are comprehensive in scope to accommodate complex investment programs. They are tailored to be appropriate for each specific investment program.

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### **Exhibit 300 Program Baseline**

**Old Content:** Acquisition Management Policy:

**Exhibit 300 Program Baseline**

[download Exhibit 300 Program Baseline Signature template](#)

[download OMB A-11 Exhibit 300 template](#)

[download OMB A-11 Supplement - Capital Programming Guide](#)

[download OMB Circular A-11 Exhibit 53 template](#)

[download Exhibit 300 Program Baseline Signature template](#)

[download OMB A-11 Exhibit 300 template](#)

[download OMB A-11 Supplement - Capital Programming Guide](#)

[download OMB Circular A-11 Exhibit 53 template](#)

### **PURPOSE**

The Exhibit 300 program baseline is the agreement between the Joint Resources Council and the service organization concerning the capability and benefits a program phase will provide and the

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resources and schedule it will have. It contains performance measures for assessing program success and for advancing it through the lifecycle management process.

### **APPROVAL**

The Acquisition Executive, Chief Operating Officer (ATO) or Associate Administrator (non-ATO) of the line of business with the mission need, Chief Information Officer and Chief Financial Officer approve the Exhibit 300 program baseline.

### **DISTRIBUTION**

Send an electronic copy of the Exhibit 300 program baseline and updates to the JRC Secretariat before a decision meeting per instructions in the JRC Secretariat quick-start guide. The JRC Secretariat maintains a database of all line-of-business Exhibit 300 program baselines.

### **CONTENT**

The Exhibit 300 instruction in OMB Circular A-11 defines the content of the Exhibit 300 program baseline. The program requirements template in FAST defines the content of attachment 1: Program Requirements. The business case analysis report template in FAST defines the content of attachment 2: Business Case Analysis Report. The implementation strategy and planning template in FAST defines the content of attachment 3: Implementation Strategy and Planning.

### **New Content: Acquisition Management Policy: Acquisition Program Baseline**

download acquisition program baseline template

### **PURPOSE**

The acquisition program baseline defines the cost, schedule, and performance baselines for the investment program. It is the mutual agreement between the investment decision authority, the providing service organization, and the operating service organization concerning the performance and capability the program will provide and the authorized cost and schedule.

### **DESCRIPTION**

The acquisition program baseline is established at the final investment decision coincident with approval of an investment program for implementation. The cost and schedule baselines are developed during final investment analysis by the service organization (working within the investment analysis team) that will implement and manage the program throughout its lifecycle. The performance baseline contains the key performance parameters and their associated values that are essential to meet the mission need. The key performance parameters are obtained from the program requirements document for the IDA-selected solution.

Certain critical parameters within each baseline in the APB are designated for IDA control. These parameters define the empowerment boundaries of the service team during solution implementation. They relate to corporate FAA's commitment to satisfying the mission need,

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achieving needed operational capability, and meeting the schedule requirements of interdependent programs. IDA controls are identified during final investment analysis by the investment analysis team and approved by the IDA.

## APPROVAL

The chair of the investment decision authority approves the acquisition program baseline with the concurrence of other IDA members. Designated ACAT reviewers also sign the document. NOTE: No funding may be committed or obligated that would exceed the cost baseline in the APB.

## DISTRIBUTION

Send an electronic copy of the acquisition program baseline and updates to the IDA secretariat before a decision meeting per instructions in the IDA secretariat quick-start guide. The IDA secretariat maintains a database of all acquisition program baselines.

## CONTENT

The acquisition program baseline consists of a cost baseline, schedule baseline, and performance baseline. Content is defined in the [APB template](#).

**Red Line Content:** [Acquisition Management Policy: Exhibit Acquisition 300 Program Baseline](#)

[download Exhibit acquisition 300 Program Baseline Signature template download OMB A-11 program Exhibit 300 baseline signature template](#)

[download OMB PURPOSE](#)

[The A-11 acquisition Supplement—Capital Programming program baseline defines the Guide download cost, OMB schedule, Circular and A-11 Exhibit performance 53 baselines template PURPOSE The for Exhibit 300 the investment program, baseline It is the mutual agreement between the Joint investment decision authority, the providing Resources service Council organization, and the operating service organization concerning the capability performance and benefits capability at the program phase will provide and the resources authorized cost and schedule.](#)

## DESCRIPTION

[The it will acquisition program have baseline It contains is established performance at the measures final for investment decision coincident assessing with approval of an investment program success for implementation. The cost and for schedule baselines are developed advancing it through during final investment analysis by the lifecycle service organization \(working within the investment analysis team\) that will management implement and manage the program throughout its lifecycle. APPROVAL The Acquisition performance Executive baseline Chief Operating Officer contains the key \(ATO\) performance or Associate Administrator parameters and their \(non-ATO\) associated of the line of business with values that are essential to meet the mission need, Chief, Information Officer and Chief Financial Officer approve The key performance parameters are obtained from the Exhibit program requirements 300 program document for baseline the IDA-selected solution.](#)

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DISTRIBUTION Send

Certain an electronic critical parameters copy within each baseline in the APB are designated for IDA control. These parameters define the empowerment boundaries of the Exhibit 300 program service team baseline and during updates solution implementation. They relate to the corporate JRC FAA's Secretariat before a decision meeting commitment to satisfying the mission per need, instructions achieving in needed operational capability, and meeting the JRC Secretariat schedule requirements quick start of guide interdependent programs. The JRC Secretariat maintains a database of all IDA controls are identified during final investment analysis line of business by Exhibit 300 program the investment analysis baselines team and approved by the IDA.

CONTENT

chair of the investment decision authority approves defines the acquisition program baseline with the content concurrence of the other IDA Exhibit members. 300 program Designated ACAT baseline reviewers also sign the document.  
NOTE: The program requirements template in FAST defines the content of attachment No funding may be committed or obligated that would exceed the cost baseline Program in the Requirements APB.

DISTRIBUTION

Send The an electronic business case analysis report template in FAST copy of the acquisition program baseline and defines updates to the content of attachment IDA secretariat before a Business decision meeting per instructions Case in the Analysis IDA secretariat quick-start Report guide. The implementation IDA strategy and planning template in FAST defines secretariat maintains a database of all acquisition the program baselines.

CONTENT

The acquisition program baseline content consists of attachment a cost baseline, Implementation schedule Strategy baseline, and Planning performance baseline. Content is defined in the APB template.

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### Exhibit 300 Program Baseline

**Old Content:** Acquisition Management Policy:  
Exhibit 300 Program Baseline

[download Exhibit 300 Program Baseline Signature template](#)

[download OMB A-11 Exhibit 300 template](#)

[download OMB A-11 Supplement - Capital Programming Guide](#)

[download OMB Circular A-11 Exhibit 53 template](#)

## **PURPOSE**

The Exhibit 300 program baseline is the agreement between the Joint Resources Council and the service organization concerning the capability and benefits a program phase will provide and the resources and schedule it will have. It contains performance measures for assessing program success and for advancing it through the lifecycle management process.

## **APPROVAL**

The Acquisition Executive, Chief Operating Officer (ATO) or Associate Administrator (non-ATO) of the line of business with the mission need, Chief Information Officer and Chief Financial Officer approve the Exhibit 300 program baseline.

## **DISTRIBUTION**

Send an electronic copy of the Exhibit 300 program baseline and updates to the JRC Secretariat before a decision meeting per instructions in the JRC Secretariat quick-start guide. The JRC Secretariat maintains a database of all line-of-business Exhibit 300 program baselines.

## **CONTENT**

The Exhibit 300 instruction in OMB Circular A-11 defines the content of the Exhibit 300 program baseline. The program requirements template in FAST defines the content of attachment 1: Program Requirements. The business case analysis report template in FAST defines the content of attachment 2: Business Case Analysis Report. The implementation strategy and planning template in FAST defines the content of attachment 3: Implementation Strategy and Planning.

**New Content:** [Acquisition Management Policy:](#)  
**Business Case Analysis Report**

[download business case analysis report template](#)

## **PURPOSE**

The business case analysis report provides summary cost, schedule, and benefit information for each alternative solution to mission need for use by the investment decision authority when making initial and final investment decisions.

## **APPROVAL**

The Vice President or Director of the implementing service organization approves the business case analysis report. Designated ACAT reviewers review and sign the report.

## **DISTRIBUTION**

Send an electronic copy of the business case analysis report and updates to the IDA secretariat before a decision meeting per instructions in the IDA secretariat quick-start guide. The IDA secretariat maintains a database of all business case analysis reports.

## CONTENT

The business case analysis report synthesizes the results of investment analysis. At the initial investment decision, it describes alternatives, assumptions, and constraints, and provides full lifecycle cost estimates, benefit estimates, schedule analysis, risk analysis, and economic analysis for each alternative. At the final investment decision, it updates this information and records full lifecycle information for the alternative selected for implementation.

The author shall use the business case analysis report template in FAST and shall provide information for all sections.

**Red Line Content:** Acquisition Management Policy:

Exhibit 300 Program Baseline*Business Case Analysis Report*

download Exhibit*acquisition* 300 Program Baseline Signature template download OMB A-11*program* Exhibit 300*baseline signature* template

download OMB*PURPOSE*

The A-11*acquisition* Supplement—Capital Programming*program baseline defines the* Guide download*cost, OMB* schedule, Circular*and A-11 Exhibit* performance 53*baselines* template PURPOSE The*for* Exhibit 300*the investment* program, baseline It is the mutual agreement between the Joint*investment decision authority, the providing* Resources*service* Council*organization,* and the operating service organization concerning the capability*performance* and benefits*capability* at the program phase will provide and the resources*authorized cost* and schedule.

### DESCRIPTION

The it will*acquisition program* have*baseline* It contains*is established* performance*at the* measures*final for* investment decision coincident assessing*with approval of an investment* program success*for implementation. The cost* and for*schedule baselines are developed* advancing it through*during final investment analysis by the lifecycle* service organization (working within the investment analysis team) that will management*implement* process*and* manage the program throughout its lifecycle. APPROVAL The Acquisition*performance* Executive*baseline* Chief Operating Officer*contains the key* (ATO)*performance* or Associate Administrator*parameters and their* (non-ATO)*associated* of the line of business with values that are essential to meet the mission need, Chief, Information Officer and Chief Financial Officer approve*The key performance parameters are obtained from* the Exhibit*program requirements* 300 program*document for* baseline*the IDA-selected solution.*

DISTRIBUTION Send

Certain an electronic*critical parameters* copy*within each baseline in the APB are designated* for IDA control. These parameters define the empowerment boundaries of the Exhibit 300 program*service team* baseline and during updates*solution implementation. They relate* to the*corporate JRC* FAA's Secretariat before a decision meeting*commitment to satisfying the* mission per*need, instructions* achieving in*needed operational capability, and meeting* the JRC Secretariat*schedule requirements* quick-start*of* guide*interdependent programs.* The JRC

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Secretariat maintains a database of all IDA controls are identified during final investment analysis line of business by Exhibit 300 program the investment analysis baselines team and approved by the IDA.

## CONTENT

### APPROVAL

The The Exhibit 300 instruction in OMB Circular chair of the investment decision authority A-1 approves defines the acquisition program baseline with the content concurrence of the other IDA Exhibit members. 300 program Designated ACAT baseline reviewers also sign the document.

NOTE: The program requirements template in FAST defines the content of attachment No funding may be committed or obligated that would exceed the 1:cost baseline Program in the Requirements APB.

### DISTRIBUTION

Send The an electronic business case analysis report template in FAST copy of the acquisition program baseline and defines updates to the content of attachment IDA secretariat before 2:a Business decision meeting per instructions Case in the Analysis IDA secretariat quick-start Report guide. The implementation IDA strategy and planning template in FAST defines secretariat maintains a database of all acquisition the program baselines.

## CONTENT

The acquisition program baseline content consists of attachment a cost 3:baseline, Implementation schedule Strategy baseline, and Planning performance baseline. Content is defined in the APB template.

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## **Exhibit 300 Program Baseline Attachment 1: Program Requirements**

**Old Content:** Acquisition Management Policy:

**Exhibit 300 Program Baseline Attachment 1: Program Requirements**

[download Program Requirements template](#)

### **PURPOSE**

Exhibit 300 program baseline attachment 1: Program Requirements establishes the operational framework and performance baseline for an investment program. It is the basis for evaluating the readiness of products and services of the investment program to become operational.

### **APPROVAL**

The Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the mission need and the operating service organization approve the program requirements attachment.

### **DISTRIBUTION**

Send an electronic copy of the Program Requirements attachment and updates to the JRC

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Secretariat before a decision meeting per instructions in the JRC Secretariat quick-start guide. The JRC Secretariat maintains a database of all line-of-business program requirements attachments.

## **CONTENT**

At the readiness for investment analysis decision, the program requirements attachment defines preliminary functional and performance requirements any potential solution to mission need must satisfy. At the final investment decision, the program requirements attachment defines exactly the operational concept and requirements the investment program must achieve.

The author shall use the program requirements template in FAST on the Internet at <http://fast.faa.gov> and shall provide information for all sections. For sections that do not apply, the author so indicates.

## **New Content: Acquisition Management Policy: Program Requirements Document**

[download program requirements document template](#)

## **PURPOSE**

The program requirements document establishes the operational framework and performance baseline for an investment program. It is the basis for evaluating the readiness of products and services of an investment program to become operational.

## **APPROVAL**

Within the ATO, the Vice Presidents of the organization executing the investment program during solution implementation and the operating organization approve the program requirements document. Within the other lines of business, the second-level executive of the organization executing the program in solution implementation approves the program requirements document.

## **DISTRIBUTION**

Send an electronic copy of the program requirements document and updates to the IDA secretariat before a decision meeting per instructions in the IDA secretariat quick-start guide. The IDA secretariat maintains a database of all program requirements documents.

## **CONTENT**

At the readiness for investment analysis decision, the program requirements document defines preliminary functional and performance requirements any potential solution to mission need must satisfy. At the final investment decision, the program requirements document defines exactly the operational concept and requirements the investment program must achieve.

The author shall use the program requirements document template in FAST and shall provide information for all sections. For sections that do not apply, the author so indicates.

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**Red Line Content:** Acquisition Management Policy:

**Exhibit 300 Program Baseline Attachment 1: Program Requirements Document**

download ~~Program~~program requirements Requirementsdocument template

#### **PURPOSE**

Exhibit ~~The~~ 300-program ~~baseline attachment 1: Program~~requirements Requirementsdocument establishes the operational framework and performance baseline for an investment program. It is the basis for evaluating the readiness of products and services of ~~the~~an investment program to become operational.

#### **APPROVAL**

~~The Vice~~Within ~~Presidents~~the (ATO) or ~~Directors,~~ the Vice (non-ATO) ~~Presidents~~ of the ~~service~~ organization ~~with~~executing the ~~mission~~investment needprogram during solution implementation and the operating ~~service~~ organization approve the program requirements ~~attachment~~document. Within the other lines of business, the second-level executive of the organization executing the program in solution implementation approves the program requirements document.

#### **DISTRIBUTION**

Send an electronic copy of the ~~Program Requirements attachment~~program requirements document and updates to the ~~JRC Secretariat~~IDA secretariat before a decision meeting per instructions in the ~~JRC~~IDA ~~Secretariat~~secretariat quick-start guide. The ~~JRC~~IDA ~~Secretariat~~secretariat maintains a database of all ~~line-of-business~~ program requirements ~~attachments~~documents.

#### **CONTENT**

~~At~~ At the readiness for investment analysis decision, the program requirements ~~attachment~~document defines preliminary functional and performance requirements any potential solution to mission need must satisfy. At the final investment decision, the program requirements ~~attachment~~document defines exactly the operational concept and requirements the investment program must achieve.

The author shall use the program requirements document template in FAST on the Internet at <http://fast.faa.gov> and shall provide information for all sections. For sections that do not apply, the author so indicates.

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#### **Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning**

**Old Content:** Acquisition Management Policy:

**Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning**

download Implementation Strategy and Planning template

## **PURPOSE**

Implementation strategy and planning defines the overall lifecycle management strategy for an investment program and contains a network of detailed actions and activities the service organization will undertake to implement the phase of the program approved by the Joint Resources Council. Planning in the attachment encompasses and integrates *all aspects* of program implementation. This may include acquisition of systems and equipment, construction or modification of facilities and the physical infrastructure, functional integration within the enterprise architecture, and procurement of services. The attachment also integrates activity in diverse functional disciplines supporting the program such as systems engineering, contracting, system safety management, logistics support, test and evaluation, security, configuration management, human integration, quality assurance, post implementation review, and operational analysis. The attachment is reviewed annually and updated as needed throughout solution implementation and in-service management.

## **APPROVAL**

The Vice Presidents (ATO) or Directors (non-ATO) of the service organization with the need and the operating service organization approve the implementation strategy and planning attachment. Approval occurs before the final investment decision after completion of detailed program planning. The Director, Independent Operational Test and Evaluation (IOT&E), approves the test section for those programs designated for IOT&E. The planning attachment is reviewed annually and updated as needed or when a rebaseline decision is requested for the Exhibit 300 program baseline.

## **DISTRIBUTION**

Send an electronic copy of the implementation strategy and planning attachment and updates to the JRC Secretariat before a decision meeting per instructions in the JRC Secretariat quick-start guide. The JRC Secretariat maintains a database of all line-of-business implementation strategy and planning attachments.

## **CONTENT**

The implementation strategy and planning attachment supplements information in the Exhibit 300 program baseline. Part 1 defines the lifecycle management strategy for the overall investment program. Part 2 is a network of actions and activities that will be undertaken to execute the phase of the program approved for implementation by the Joint Resources Council.

The author shall use the implementation strategy and planning template in FAST on the Internet at <http://fast.faa.gov> when preparing the attachment and shall provide information for all sections. For any sections covered in the main sections of the Exhibit 300 program baseline, the author references the specific Exhibit 300 section number and title. For sections that do not apply to the investment program, the author so indicates.

**New Content:** Acquisition Management Policy:  
**Implementation Strategy and Planning Document**

[download implementation strategy and planning document template](#)

## **PURPOSE**

The implementation strategy and planning document (ISPD) provides the investment decision authority a summary characterization of the plans for solution implementation and in-service management of the proposed investment. It conveys the most critical, relevant, and meaningful information to support IDA decision-making. More detailed and comprehensive plans are generated as part of acquisition best-practices at appropriate event-driven milestones, some of which occur before the final investment decision and some afterward. An initial ISPD is required for the initial investment decision covering specific sections identified in the ISPD template. A complete ISPD is required for a final investment decision. After the final investment decision, the ISPD is modified only if the program returns to the IDA for a change to the investment decision and information needs to be modified.

## **APPROVAL**

The ISPD is submitted for approval by the first-level executive of the organization that will execute the program in solution implementation. Within ATO, the ISPD is approved by the Vice President of the organization that will execute the program and by the Senior Vice President for Operations. Outside ATO, the ISPD is approved by the second-level executive of the organization that will execute the program. Certain sections of the ISPD are reviewed and approved by specific executives, as follows: (1) Section 2: Director, ATO Acquisition Policy and Contracting, and Director, FAA Financial Controls; (2) Sections 5, 6 and 10: ATO Vice President for Technical Operations; (3) Section 9: Director, ATO Safety Management System if independent operational test & evaluation will be conducted; (4) ATO Director of Systems Engineering and Safety (ATO programs only). Final signed approval of the ISPD by all members of the IDA occurs concurrent with the investment decision. All members of the IDA are expected to read the complete ISPD before an investment decision. The organization executing the program in solution implementation obtains the required approvals before the investment decision with the exception of the IDA, which is the responsibility of the IDA secretariat.

## **DISTRIBUTION**

Send an electronic copy of the ISPD to the appropriate IDA secretariat before an initial or final investment decision. The IDA secretariat maintains a database of all ISPDs.

## **CONTENT**

The originating office uses the ISPD template in FAST to generate the document. For sections that do not apply to the investment program, the originating office so indicates.

**Red Line Content:** Acquisition Management Policy:

~~Exhibit 300 Program Baseline Attachment 3: Implementation Strategy and Planning Document~~

~~download [Implementation Strategy and Planning template](#)~~

~~PURPOSE-Implementation~~

The implementation strategy and planning defines the overall lifecycle management document strategy (ISPD) for an investment program and decision contains authority a network summary characterization of the detailed plans for solution actions implementation and activities in-service the service organization will management of the proposed undertake investment to implement It conveys the phase most of critical, the relevant, program approved by the Joint Resources and meaningful information to support IDA Council decision-making. Planning in the attachment encompasses and integrates More detailed and comprehensive plans are generated all aspects part of program acquisition implementation. best-practices at This appropriate may event-driven include milestones, acquisition some of systems and which equipment, occur construction or modification of facilities before the final investment decision and the physical infrastructure, some functional afterward, integration within the enterprise An initial ISPD is architecture, required and procurement of for the initial services. investment The attachment also integrates activity decision covering specific sections identified in diverse functional the disciplines ISPD supporting template, the program such as systems A complete ISPD is required engineering for contracting, a system safety final investment management, decision, logistics After support, the test and evaluation final investment decision, security, the configuration ISPD management, is human modified integration, only quality if assurance, the post implementation program returns review, to and operational the IDA analysis. for The attachment is reviewed annually a change to the investment and updated decision as and needed throughout solution information implementation and needs to in-service be management modified.

## APPROVAL

The Vice Presidents ISPD (ATO) is or submitted for Directors approval (not by the first-ATO) level executive of the service organization with that will execute the need program and in solution implementation. Within ATO, the operating service ISPD is organization approve approved by the implementation strategy and planning Vice President of the attachment. organization Approval occurs before that will execute the final program investment decision after completion of detailed program planning and by the Senior Vice President for Operations. The Outside Director ATO, Independent the Operational Test and Evaluation ISPD is approved by (IOT&E), the approves second-level the test section for those programs designated for executive of the organization that will execute the IOT&E program. The planning attachment is reviewed annually and updated as needed or Certain sections of the ISPD are reviewed and approved by specific when executives, as rebaseline follows: decision (1) is Section requested 2: for Director, the Exhibit 300 program ATO Acquisition Policy and baseline. DISTRIBUTION Send Contracting, an and electronic Director, copy of FAA Financial the Controls; implementation strategy and (2) planning attachment Sections and 5, updates to 6 the and JRC 10: Secretariat before a decision meeting ATO Vice President for Technical per Operations; instructions (3) in Section the 9: JRC Director, Secretariat ATO quick-start Safety guide. Management The JRC Secretariat maintains a System if independent operational test database & of all evaluation will line of business be implementation conducted; strategy (4) and planning ATO Director attachments. CONTENT The of implementation strategy Systems Engineering and planning Safety (ATO attachment programs supplements only), information in the Exhibit 300 program Final signed approval of the ISPD baseline by Part 1 defines all members of the lifecycle IDA management strategy for occurs concurrent with the overall investment program decision. Part All 2 is a network of actions and activities that will be

~~undertaken to execute~~ ***members of the IDA are expected to read the complete ISPD before an investment decision.*** ~~phase~~ ***The of organization executing*** the program approved for ***in solution*** implementation by ***obtains*** the Joint Resources ***required approvals*** Council. ~~The~~ ***before*** ~~the~~ author shall use ***investment decision with*** the implementation ***exception*** strategy and ***of the*** planning ***IDA***, template in FAST on the Internet at ***which is the responsibility of the IDA*** <http://fastsecretariat.faa.gov>

### **DISTRIBUTION**

***Send*** when preparing the attachment and shall provide ***an electronic copy of the ISPD to*** information ***the appropriate*** for all ***IDA secretariat*** sections. ***before*** For any ***an initial*** sections ***or final*** covered ***investment in decision.*** the main sections of the Exhibit 300 program ***The IDA secretariat maintains a database of all*** baseline, ***Sips.***

### **CONTENT**

***The*** the author references ***originating office uses*** the specific ***ISPD template*** Exhibit 300 section number and title ***in FAST to generate the document.*** For sections that do not apply to the investment program, the author ***originating office*** so indicates.

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### **Section 4.15 : Post Implementation Review**

**Old Content:** Acquisition Management Policy:

**Section 4.15 : Post Implementation Review New Content:** Acquisition Management Policy:

**Section 4.15 : Post Implementation Review and Operational Analysis Red Line Content:**

Acquisition Management Policy:

**Section 4.15 : Post Implementation Review ***and Operational Analysis*****

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